



HEALTH QUARTERLY STATEMENT

AS OF SEPTEMBER 30, 2018  
OF THE CONDITION AND AFFAIRS OF THE

Empire HealthChoice HMO, Inc.

NAIC Group Code 0671 0671 NAIC Company Code 95433 Employer's ID Number 13-3874803  
(Current) (Prior)

Organized under the Laws of New York, State of Domicile or Port of Entry NY

Country of Domicile United States of America

Licensed as business type: Health Maintenance Organization

Is HMO Federally Qualified? Yes [ ] No [ X ]

Incorporated/Organized 03/05/1996 Commenced Business 03/19/1996

Statutory Home Office 9 Pine Street, 14th Floor New York, NY, US 10005  
(Street and Number) (City or Town, State, Country and Zip Code)

Main Administrative Office 9 Pine Street, 14th Floor  
(Street and Number)  
New York, NY, US 10005 212-563-5570  
(City or Town, State, Country and Zip Code) (Area Code) (Telephone Number)

Mail Address 9 Pine Street, 14th Floor New York, NY, US 10005  
(Street and Number or P.O. Box) (City or Town, State, Country and Zip Code)

Primary Location of Books and Records 2 Gannett Drive  
(Street and Number)  
South Portland, ME, US 04106 866-583-6182  
(City or Town, State, Country and Zip Code) (Area Code) (Telephone Number)

Internet Website Address www.empireblue.com

Statutory Statement Contact Dan Wolke 317-488-6245  
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dan.wolke@anthem.com 317-488-6200  
(E-mail Address) (FAX Number)

OFFICERS

President, Chairperson and Chief Executive Officer Alan James Murray # Treasurer Eric (Rick) Kenneth Noble  
Secretary Jay Harry Wagner Assistant Secretary Patrick James O'Keefe

OTHER

John Bennett Stephenson, Vice President and Medicaid Plan President Mark Daniel Justus, Valuation Actuary Vincent Edward Scher, Assistant Treasurer

DIRECTORS OR TRUSTEES

Alan James Murray # Grace Helen McCabe Lois Susan Freedman  
Patrick James O'Keefe Randall Vincent Pernicone

State of Maine SS:  
County of Cumberland

The officers of this reporting entity being duly sworn, each depose and say that they are the described officers of said reporting entity, and that on the reporting period stated above, all of the herein described assets were the absolute property of the said reporting entity, free and clear from any liens or claims thereon, except as herein stated, and that this statement, together with related exhibits, schedules and explanations therein contained, annexed or referred to, is a full and true statement of all the assets and liabilities and of the condition and affairs of the said reporting entity as of the reporting period stated above, and of its income and deductions therefrom for the period ended, and have been completed in accordance with the NAIC Annual Statement Instructions and Accounting Practices and Procedures manual except to the extent that: (1) state law may differ; or, (2) that state rules or regulations require differences in reporting not related to accounting practices and procedures, according to the best of their information, knowledge and belief, respectively. Furthermore, the scope of this attestation by the described officers also includes the related corresponding electronic filing with the NAIC, when required, that is an exact copy (except for formatting differences due to electronic filing) of the enclosed statement. The electronic filing may be requested by various regulators in lieu of or in addition to the enclosed statement.

Alan James Murray Jay Harry Wagner Eric (Rick) Kenneth Noble  
President Secretary Treasurer

Subscribed and sworn to before me this 8th day of November, 2018  
Sharon W. Berry

- a. Is this an original filing? ..... Yes [ X ] No [ ]  
b. If no,  
1. State the amendment number.....  
2. Date filed .....  
3. Number of pages attached.....

SHARON W. BERRY  
Notary Public, Maine  
My Commission Expires January 8, 2024

Apply Corporate  
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ASSETS

	Current Statement Date			4 December 31 Prior Year Net Admitted Assets
	1 Assets	2 Nonadmitted Assets	3 Net Admitted Assets (Cols. 1 - 2)	
1. Bonds .....	328,157,345	0	328,157,345	364,393,290
2. Stocks:				
2.1 Preferred stocks .....			0	
2.2 Common stocks .....			0	
3. Mortgage loans on real estate:				
3.1 First liens .....			0	
3.2 Other than first liens.....			0	
4. Real estate:				
4.1 Properties occupied by the company (less \$ ..... encumbrances) .....			0	
4.2 Properties held for the production of income (less \$ ..... encumbrances) .....			0	
4.3 Properties held for sale (less \$ ..... encumbrances) .....			0	
5. Cash (\$ .....3,635,272 ), cash equivalents (\$ .....0 ) and short-term investments (\$ .....704,090 ) .....	4,339,362		4,339,362	3,817,053
6. Contract loans (including \$ ..... premium notes) .....			0	
7. Derivatives .....			0	
8. Other invested assets .....			0	
9. Receivables for securities .....	1,729,394	0	1,729,394	
10. Securities lending reinvested collateral assets .....	10,689,391		10,689,391	59,142
11. Aggregate write-ins for invested assets .....	0	0	0	126,404
12. Subtotals, cash and invested assets (Lines 1 to 11) .....	344,915,492	0	344,915,492	368,395,889
13. Title plants less \$ ..... charged off (for Title insurers only) .....			0	
14. Investment income due and accrued .....	3,248,164	0	3,248,164	3,584,609
15. Premiums and considerations:				
15.1 Uncollected premiums and agents' balances in the course of collection .....	14,415,182	2,356,815	12,058,367	17,418,845
15.2 Deferred premiums, agents' balances and installments booked but deferred and not yet due (including \$ ..... earned but unbilled premiums) .....			0	
15.3 Accrued retrospective premiums (\$ ..... ) and contracts subject to redetermination (\$ .....73,229,355 ) .....	73,229,355	0	73,229,355	62,896,113
16. Reinsurance:				
16.1 Amounts recoverable from reinsurers .....	143,487	0	143,487	4,282,660
16.2 Funds held by or deposited with reinsured companies .....			0	
16.3 Other amounts receivable under reinsurance contracts .....			0	
17. Amounts receivable relating to uninsured plans .....	299,944	0	299,944	349,371
18.1 Current federal and foreign income tax recoverable and interest thereon .....	4,549,435	0	4,549,435	40,973,746
18.2 Net deferred tax asset .....	4,105,407		4,105,407	4,899,816
19. Guaranty funds receivable or on deposit .....			0	
20. Electronic data processing equipment and software .....			0	
21. Furniture and equipment, including health care delivery assets (\$ ..... ) .....			0	
22. Net adjustment in assets and liabilities due to foreign exchange rates .....			0	
23. Receivables from parent, subsidiaries and affiliates .....			0	0
24. Health care (\$ .....15,672,133 ) and other amounts receivable .....	42,261,497	26,589,364	15,672,133	7,873,383
25. Aggregate write-ins for other than invested assets .....	25,568,647	1,701,581	23,867,066	14,544,211
26. Total assets excluding Separate Accounts, Segregated Accounts and Protected Cell Accounts (Lines 12 to 25) .....	512,736,610	30,647,760	482,088,850	525,218,643
27. From Separate Accounts, Segregated Accounts and Protected Cell Accounts .....			0	
28. Total (Lines 26 and 27)	512,736,610	30,647,760	482,088,850	525,218,643
DETAILS OF WRITE-INS				
1101. Investment Guaranty Fund (Blue Cross and Blue Shield Association) .....	0	0	0	126,404
1102. ....				
1103. ....				
1198. Summary of remaining write-ins for Line 11 from overflow page .....	0	0	0	0
1199. Totals (Lines 1101 through 1103 plus 1198)(Line 11 above)	0	0	0	126,404
2501. New York Assessment .....	9,770,380	0	9,770,380	9,080,065
2502. Stop Loss Receivables (NY Regulation 4321, 4322 & 4327) .....	4,743,323	0	4,743,323	2,902,619
2503. City Income Tax Recoverable .....	4,262,412	0	4,262,412	0
2598. Summary of remaining write-ins for Line 25 from overflow page .....	6,792,532	1,701,581	5,090,951	2,561,527
2599. Totals (Lines 2501 through 2503 plus 2598)(Line 25 above)	25,568,647	1,701,581	23,867,066	14,544,211

LIABILITIES, CAPITAL AND SURPLUS

	Current Period			Prior Year
	1 Covered	2 Uncovered	3 Total	4 Total
1. Claims unpaid (less \$ .....0 reinsurance ceded) .....	86,383,172	0	86,383,172	141,657,221
2. Accrued medical incentive pool and bonus amounts .....	10,415,303	0	10,415,303	12,541,971
3. Unpaid claims adjustment expenses .....	2,611,628	0	2,611,628	4,213,467
4. Aggregate health policy reserves, including the liability of \$ .....0 for medical loss ratio rebate per the Public Health Service Act .....	11,403,753	0	11,403,753	36,342,728
5. Aggregate life policy reserves .....			0	
6. Property/casualty unearned premium reserve .....			0	
7. Aggregate health claim reserves .....	11,136	0	11,136	37,905
8. Premiums received in advance .....	1,145,661	0	1,145,661	1,747,849
9. General expenses due or accrued .....	7,795,158	0	7,795,158	6,741,074
10.1 Current federal and foreign income tax payable and interest thereon (including \$ ..... on realized gains (losses)) .....			0	
10.2 Net deferred tax liability .....			0	
11. Ceded reinsurance premiums payable .....			0	
12. Amounts withheld or retained for the account of others.....	1,824,843	0	1,824,843	1,834,978
13. Remittances and items not allocated .....	5,300,856	0	5,300,856	5,546,143
14. Borrowed money (including \$ ..... current) and interest thereon \$ ..... (including \$ ..... current) .....			0	
15. Amounts due to parent, subsidiaries and affiliates .....	102,698,503	0	102,698,503	97,940,602
16. Derivatives .....			0	
17. Payable for securities .....	2,685,781	0	2,685,781	
18. Payable for securities lending .....	10,689,391	0	10,689,391	59,142
19. Funds held under reinsurance treaties (with \$ ..... authorized reinsurers, \$ ..... unauthorized reinsurers and \$ ..... certified reinsurers).....			0	
20. Reinsurance in unauthorized and certified (\$ ..... ) companies .....			0	
21. Net adjustments in assets and liabilities due to foreign exchange rates .....			0	
22. Liability for amounts held under uninsured plans .....			0	
23. Aggregate write-ins for other liabilities (including \$ .....26,165,960 current) .....	26,572,912	0	26,572,912	12,956,799
24. Total liabilities (Lines 1 to 23) .....	269,538,097	0	269,538,097	321,619,879
25. Aggregate write-ins for special surplus funds .....	XXX	XXX	0	19,157,298
26. Common capital stock .....	XXX	XXX	2	2
27. Preferred capital stock .....	XXX	XXX		
28. Gross paid in and contributed surplus .....	XXX	XXX	86,999,998	86,999,998
29. Surplus notes .....	XXX	XXX		
30. Aggregate write-ins for other than special surplus funds .....	XXX	XXX	160,381,882	160,381,882
31. Unassigned funds (surplus) .....	XXX	XXX	(34,831,129)	(62,940,416)
32. Less treasury stock, at cost:				
32.1 ..... shares common (value included in Line 26 \$ ..... ) .....	XXX	XXX		
32.2 ..... shares preferred (value included in Line 27 \$ ..... ) .....	XXX	XXX		
33. Total capital and surplus (Lines 25 to 31 minus Line 32) .....	XXX	XXX	212,550,753	203,598,764
34. Total liabilities, capital and surplus (Lines 24 and 33)	XXX	XXX	482,088,850	525,218,643
DETAILS OF WRITE-INS				
2301. Miscellaneous Medicare Liabilities .....	23,958,775		23,958,775	8,669,474
2302. Other Premium Liability .....	842,328		842,328	1,598,957
2303. Escheat Liability .....	782,578		782,578	2,029,044
2398. Summary of remaining write-ins for Line 23 from overflow page .....	989,231	0	989,231	659,324
2399. Totals (Lines 2301 through 2303 plus 2398)(Line 23 above)	26,572,912	0	26,572,912	12,956,799
2501. Estimated ACA Health Insurer fee .....	XXX	XXX	0	19,157,298
2502. ....	XXX	XXX		
2503. ....	XXX	XXX		
2598. Summary of remaining write-ins for Line 25 from overflow page .....	XXX	XXX	0	0
2599. Totals (Lines 2501 through 2503 plus 2598)(Line 25 above)	XXX	XXX	0	19,157,298
3001. Required Reserves .....	XXX	XXX	160,381,882	160,381,882
3002. ....	XXX	XXX		
3003. ....	XXX	XXX		
3098. Summary of remaining write-ins for Line 30 from overflow page .....	XXX	XXX	0	0
3099. Totals (Lines 3001 through 3003 plus 3098)(Line 30 above)	XXX	XXX	160,381,882	160,381,882

STATEMENT OF REVENUE AND EXPENSES

	Current Year To Date		Prior Year To Date	Prior Year Ended December 31
	1 Uncovered	2 Total	3 Total	4 Total
1. Member Months .....	XXX	780,089	1,244,276	1,650,248
2. Net premium income ( including \$ .....0 non-health premium income).....	XXX	738,894,569	972,267,372	1,283,055,054
3. Change in unearned premium reserves and reserve for rate credits.....	XXX	193,784	(2,343,981)	1,527,172
4. Fee-for-service (net of \$ .....0 medical expenses).....	XXX			
5. Risk revenue .....	XXX			
6. Aggregate write-ins for other health care related revenues .....	XXX	0	0	0
7. Aggregate write-ins for other non-health revenues .....	XXX	0	0	0
8. Total revenues (Lines 2 to 7) .....	XXX	739,088,353	969,923,391	1,284,582,226
<b>Hospital and Medical:</b>				
9. Hospital/medical benefits .....		499,707,976	657,246,003	888,181,934
10. Other professional services .....		38,130,561	32,096,473	54,477,472
11. Outside referrals .....		23,910,066	31,691,389	45,592,064
12. Emergency room and out-of-area .....		21,757,587	32,009,427	35,198,793
13. Prescription drugs .....		62,900,313	143,330,322	191,011,859
14. Aggregate write-ins for other hospital and medical .....	0	(1,840,704)	(2,187,124)	(3,679,156)
15. Incentive pool, withhold adjustments and bonus amounts .....		17,025,722	18,686,056	28,195,585
16. Subtotal (Lines 9 to 15) .....	0	661,591,521	912,872,546	1,238,978,551
<b>Less:</b>				
17. Net reinsurance recoveries .....			952,000	985,068
18. Total hospital and medical (Lines 16 minus 17) .....	0	661,591,521	911,920,546	1,237,993,483
19. Non-health claims (net) .....				
20. Claims adjustment expenses, including \$ .....16,071,556 cost containment expenses .....		24,575,996	33,072,131	49,806,835
21. General administrative expenses .....		67,275,226	64,044,896	95,110,160
22. Increase in reserves for life and accident and health contracts (including \$ ..... increase in reserves for life only) .....		(22,506,388)	8,041,100	(14,228,785)
23. Total underwriting deductions (Lines 18 through 22).....	0	730,936,355	1,017,078,673	1,368,681,693
24. Net underwriting gain or (loss) (Lines 8 minus 23) .....	XXX	8,151,998	(47,155,282)	(84,099,467)
25. Net investment income earned .....		8,280,438	8,604,361	11,761,729
26. Net realized capital gains (losses) less capital gains tax of \$ .....(77,448) .....		(499,172)	693,427	594,077
27. Net investment gains (losses) (Lines 25 plus 26) .....	0	7,781,266	9,297,788	12,355,806
28. Net gain or (loss) from agents' or premium balances charged off [(amount recovered \$ ..... ) (amount charged off \$ .....226,017 )].....		(226,017)	(488,146)	(547,723)
29. Aggregate write-ins for other income or expenses .....	0	(446,593)	(295,390)	(407,607)
30. Net income or (loss) after capital gains tax and before all other federal income taxes (Lines 24 plus 27 plus 28 plus 29) .....	XXX	15,260,654	(38,641,030)	(72,698,991)
31. Federal and foreign income taxes incurred .....	XXX	1,253,147	(7,579,264)	(34,306,881)
32. Net income (loss) (Lines 30 minus 31) .....	XXX	14,007,507	(31,061,766)	(38,392,110)
<b>DETAILS OF WRITE-INS</b>				
0601. ....	XXX			
0602. ....	XXX			
0603. ....	XXX			
0698. Summary of remaining write-ins for Line 6 from overflow page .....	XXX	0	0	0
0699. Totals (Lines 0601 through 0603 plus 0698)(Line 6 above) .....	XXX	0	0	0
0701. ....	XXX			
0702. ....	XXX			
0703. ....	XXX			
0798. Summary of remaining write-ins for Line 7 from overflow page .....	XXX	0	0	0
0799. Totals (Lines 0701 through 0703 plus 0798)(Line 7 above) .....	XXX	0	0	0
1401. Pool Recoveries – Stop Loss .....	0	(1,840,704)	(2,187,124)	(3,679,156)
1402. ....				
1403. ....				
1498. Summary of remaining write-ins for Line 14 from overflow page .....	0	0	0	0
1499. Totals (Lines 1401 through 1403 plus 1498)(Line 14 above) .....	0	(1,840,704)	(2,187,124)	(3,679,156)
2901. Miscellaneous (expense) income .....	0	(446,593)	(295,390)	(407,607)
2902. ....				
2903. ....				
2998. Summary of remaining write-ins for Line 29 from overflow page .....	0	0	0	0
2999. Totals (Lines 2901 through 2903 plus 2998)(Line 29 above) .....	0	(446,593)	(295,390)	(407,607)

STATEMENT OF REVENUE AND EXPENSES (Continued)

	1 Current Year to Date	2 Prior Year to Date	3 Prior Year Ended December 31
CAPITAL AND SURPLUS ACCOUNT			
33. Capital and surplus prior reporting year.....	203,598,764	223,931,842	223,931,842
34. Net income or (loss) from Line 32 .....	14,007,507	(31,061,766)	(38,392,110)
35. Change in valuation basis of aggregate policy and claim reserves .....			
36. Change in net unrealized capital gains (losses) less capital gains tax of \$ ..... 21,010	79,039	(117,169)	(42,197)
37. Change in net unrealized foreign exchange capital gain or (loss) .....			
38. Change in net deferred income tax .....	(773,398)	(813,386)	(21,048)
39. Change in nonadmitted assets .....	(4,361,159)	(10,313,787)	3,122,277
40. Change in unauthorized and certified reinsurance .....	0		
41. Change in treasury stock .....	0		
42. Change in surplus notes .....	0		
43. Cumulative effect of changes in accounting principles.....			
44. Capital Changes:			
44.1 Paid in .....	0		
44.2 Transferred from surplus (Stock Dividend).....	0		
44.3 Transferred to surplus.....			
45. Surplus adjustments:			
45.1 Paid in .....	0	15,000,000	15,000,000
45.2 Transferred to capital (Stock Dividend) .....			
45.3 Transferred from capital .....			
46. Dividends to stockholders .....			
47. Aggregate write-ins for gains or (losses) in surplus .....	0	0	0
48. Net change in capital & surplus (Lines 34 to 47) .....	8,951,989	(27,306,108)	(20,333,078)
49. Capital and surplus end of reporting period (Line 33 plus 48)	212,550,753	196,625,734	203,598,764
DETAILS OF WRITE-INS			
4701. ....			
4702. ....			
4703. ....			
4798. Summary of remaining write-ins for Line 47 from overflow page .....	0	0	0
4799. Totals (Lines 4701 through 4703 plus 4798)(Line 47 above)	0	0	0

CASH FLOW

	1 Current Year To Date	2 Prior Year To Date	3 Prior Year Ended December 31
Cash from Operations			
1. Premiums collected net of reinsurance .....	729,969,961	1,023,167,463	1,276,185,355
2. Net investment income .....	10,756,199	11,947,981	16,431,321
3. Miscellaneous income .....	0		
4. Total (Lines 1 to 3) .....	740,726,160	1,035,115,444	1,292,616,676
5. Benefit and loss related payments .....	714,879,834	909,091,799	1,228,404,193
6. Net transfers to Separate Accounts, Segregated Accounts and Protected Cell Accounts .....			
7. Commissions, expenses paid and aggregate write-ins for deductions .....	92,379,036	98,412,608	144,216,688
8. Dividends paid to policyholders .....			
9. Federal and foreign income taxes paid (recovered) net of \$ ..... (77,448) tax on capital gains (losses) .....	(35,248,613)	(1,042,901)	(1,042,901)
10. Total (Lines 5 through 9) .....	772,010,257	1,006,461,506	1,371,577,980
11. Net cash from operations (Line 4 minus Line 10) .....	(31,284,097)	28,653,938	(78,961,304)
Cash from Investments			
12. Proceeds from investments sold, matured or repaid:			
12.1 Bonds .....	119,033,048	110,757,614	150,720,653
12.2 Stocks .....	0		
12.3 Mortgage loans .....	0		
12.4 Real estate .....	0		
12.5 Other invested assets .....	0		
12.6 Net gains or (losses) on cash, cash equivalents and short-term investments .....	(22)		(900)
12.7 Miscellaneous proceeds .....	4,597,647	10,211,602	21,392,759
12.8 Total investment proceeds (Lines 12.1 to 12.7) .....	123,630,673	120,969,216	172,112,512
13. Cost of investments acquired (long-term only):			
13.1 Bonds .....	85,412,968	67,363,396	109,054,150
13.2 Stocks .....	0		
13.3 Mortgage loans .....	0		
13.4 Real estate .....	0		
13.5 Other invested assets .....	0		
13.6 Miscellaneous applications .....	12,486,047	1,016,242	65,353
13.7 Total investments acquired (Lines 13.1 to 13.6) .....	97,899,015	68,379,638	109,119,503
14. Net increase (or decrease) in contract loans and premium notes .....	0		
15. Net cash from investments (Line 12.8 minus Line 13.7 and Line 14) .....	25,731,658	52,589,578	62,993,009
Cash from Financing and Miscellaneous Sources			
16. Cash provided (applied):			
16.1 Surplus notes, capital notes .....	0		
16.2 Capital and paid in surplus, less treasury stock .....	0	15,000,000	15,000,000
16.3 Borrowed funds .....	0		
16.4 Net deposits on deposit-type contracts and other insurance liabilities .....	0		
16.5 Dividends to stockholders .....	0		
16.6 Other cash provided (applied) .....	6,074,748	(68,409,421)	2,775,542
17. Net cash from financing and miscellaneous sources (Line 16.1 through Line 16.4 minus Line 16.5 plus Line 16.6) .....	6,074,748	(53,409,421)	17,775,542
RECONCILIATION OF CASH, CASH EQUIVALENTS AND SHORT-TERM INVESTMENTS			
18. Net change in cash, cash equivalents and short-term investments (Line 11, plus Lines 15 and 17) ..	522,309	27,834,095	1,807,247
19. Cash, cash equivalents and short-term investments:			
19.1 Beginning of year .....	3,817,053	2,009,806	2,009,806
19.2 End of period (Line 18 plus Line 19.1) .....	4,339,362	29,843,901	3,817,053

Note: Supplemental disclosures of cash flow information for non-cash transactions:

20.0001. ....			
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EXHIBIT OF PREMIUMS, ENROLLMENT AND UTILIZATION

	1  Total	Comprehensive (Hospital & Medical)		4  Medicare Supplement	5  Vision Only	6  Dental Only	7  Federal Employees Health Benefit Plan	8  Title XVIII Medicare	9  Title XIX Medicaid	10  Other
		2  Individual	3  Group							
Total Members at end of:										
1. Prior Year .....	134,609	49,084	16,068	0	0	0	0	69,457	0	0
2. First Quarter .....	86,816	0	13,170	0	0	0	0	73,646	0	0
3. Second Quarter .....	86,406	0	12,517	0	0	0	0	73,889	0	0
4. Third Quarter .....	85,512	0	11,717	0	0	0	0	73,795	0	0
5. Current Year	0									
6. Current Year Member Months	780,089	0	116,343	0	0	0	0	663,746	0	0
Total Member Ambulatory Encounters for Period:										
7. Physician .....	981,498	0	91,051					890,447		
8. Non-Physician .....	670,185	0	36,936					633,249		
9. Total	1,651,683	0	127,987	0	0	0	0	1,523,696	0	0
10. Hospital Patient Days Incurred	98,337	0	4,587					93,750		
11. Number of Inpatient Admissions	13,765	0	928					12,837		
12. Health Premiums Written (a) .....	738,894,569	1,175,838	94,510,603					642,968,070		240,058
13. Life Premiums Direct .....	0									
14. Property/Casualty Premiums Written .....	0									
15. Health Premiums Earned .....	739,088,353	1,175,838	94,481,451					643,195,694		235,370
16. Property/Casualty Premiums Earned .....	0									
17. Amount Paid for Provision of Health Care Services.....	719,019,007	34,137,233	82,927,029					601,762,495		192,250
18. Amount Incurred for Provision of Health Care Services	661,591,521	(7,182,349)	79,024,288					589,558,166		191,416

(a) For health premiums written: amount of Medicare Title XVIII exempt from state taxes or fees \$ .....642,968,070

STATEMENT AS OF SEPTEMBER 30, 2018 OF THE Empire HealthChoice HMO, Inc.

## CLAIMS UNPAID AND INCENTIVE POOL, WITHHOLD AND BONUS (Reported and Unreported)

[illegible]

∞



UNDERWRITING AND INVESTMENT EXHIBIT

ANALYSIS OF CLAIMS UNPAID - PRIOR YEAR - NET OF REINSURANCE

Line of Business	Claims Paid Year to Date		Liability End of Current Quarter		5  Claims Incurred in Prior Years (Columns 1 + 3)	6  Estimated Claim Reserve and Claim Liability December 31 of Prior Year
	1  On Claims Incurred Prior to January 1 of Current Year	2  On Claims Incurred During the Year	3  On Claims Unpaid Dec. 31 of Prior Year	4  On Claims Incurred During the Year		
1. Comprehensive (hospital and medical) .....	55,575,222	70,699,506	2,636,316	12,622,518	58,211,538	59,922,464
2. Medicare Supplement .....					0	0
3. Dental Only .....					0	0
4. Vision Only .....					0	0
5. Federal Employees Health Benefits Plan .....					0	0
6. Title XVIII - Medicare .....	64,252,466	551,408,671	937,039	70,191,297	65,189,505	81,764,690
7. Title XIX - Medicaid .....					0	0
8. Other health .....	5,613	186,637	26	7,112	5,639	7,972
9. Health subtotal (Lines 1 to 8) .....	119,833,301	622,294,814	3,573,381	82,820,927	123,406,682	141,695,126
10. Healthcare receivables (a) .....	5,794,590	36,466,907	0	0	5,794,590	0
11. Other non-health .....					0	0
12. Medical incentive pools and bonus amounts .....	14,150,251	5,002,138	3,169,153	7,246,150	17,319,404	12,541,971
13. Totals (Lines 9-10+11+12)	128,188,962	590,830,045	6,742,534	90,067,077	134,931,496	154,237,097

(a) Excludes \$ 0 loans or advances to providers not yet expensed.

STATEMENT AS OF SEPTEMBER 30, 2018 OF THE Empire HealthChoice HMO, Inc.

NOTES TO FINANCIAL STATEMENTS

For the purposes of the quarterly interim financial information, it is presumed that the users of the interim financial information have read or have access to the Annual Statement as of December 31, 2017. This presentation addresses only significant events occurring since the last Annual Statement.

1. Summary of Significant Accounting Policies and Going Concern

A. Accounting Practices

The accompanying financial statements of Empire HealthChoice HMO, Inc. (the “Company”) have been prepared in conformity with the National Association of Insurance Commissioners’ (“NAIC”) *Annual Statement Instructions* and in accordance with accounting practices prescribed or permitted by the New York State Department of Financial Services (the “Department”). The Department has adopted accounting policies found in the NAIC *Accounting Practices and Procedures Manual* (“NAIC SAP”) as a component of prescribed accounting practices. Additionally, the Department has adopted certain prescribed accounting practices that differ from those found in NAIC SAP, which impact the Company, specifically 1) overdue premiums (in excess of 90 days) from state and local governments or any of its instrumentalities shall be admitted assets; in NAIC SAP, premiums over 90 days due are non-admitted; 2) certain estimated market stabilization reinsurance/ pooling recoverables, stop-loss recoverables, and reinsurance recoverables are admitted assets; in NAIC SAP, these recoverables are admitted only upon notification of the refund; 3) invested assets held for the benefit of out of state subscriber claims (Blue Cross and Blue Shield Association Investment Guaranty Fund) which exceeds 105% of the required amount to be held in trust are non-admitted assets; in NAIC SAP, these invested assets would be admitted; and 4) prepaid broker commissions are admitted assets; in NAIC SAP, prepaid broker commissions are nonadmitted assets. The Department has the right to permit other specific practices that deviate from prescribed practices. The Company has employed no permitted practices in preparing the accompanying statutory-basis financial statements.

A reconciliation of the Company’s net income and capital and surplus between NAIC SAP and practices prescribed and permitted by the Department is shown below:

	SSAP #	F/S Page	F/S Line #	September 30, 2018	December 31, 2017
<b><u>Net Income</u></b>					
(1) Empire HealthChoice HMO, Inc. state basis (Page 4, Line 32, Columns 2 & 4)	XXX	XXX	XXX	\$ 14,007,507	\$ (38,392,110)
(2) State Prescribed Practices that is an increase/(decrease) from NAIC SAP:				—	—
(3) State Permitted Practices that is an increase/(decrease) from NAIC SAP:				—	—
(4) NAIC SAP (1-2-3=4)	XXX	XXX	XXX	<u>\$ 14,007,507</u>	<u>\$ (38,392,110)</u>
<b><u>Surplus</u></b>					
(5) Empire HealthChoice HMO, Inc. state basis (Page 3, Line 33, Columns 3 & 4)	XXX	XXX	XXX	\$ 212,550,753	\$ 203,598,764
(6) State Prescribed Practices that is an increase/(decrease) from NAIC SAP:					
Pooling/Stop Loss recoverable	6	2	25	4,743,323	2,902,619
BCA Investment Guaranty Fund	26	2	11	—	(1,659,058)
Prepaid Brokers' Commissions	29	2	25	789,481	771,872
Overdue local government premiums	6	2	15.1	191,237	846,314
(7) State Permitted Practices that is an increase/(decrease) from NAIC SAP:				—	—
(8) NAIC SAP (5-6-7=8)	XXX	XXX	XXX	<u>\$ 206,826,712</u>	<u>\$ 200,737,017</u>

## NOTES TO FINANCIAL STATEMENTS

### **B. Use of Estimates in the Preparation of the Financial Statements**

Preparation of financial statements requires management to make estimates and assumptions that affect the amounts reported in the financial statements and accompanying notes. Actual results could differ from those estimates. During 2018, the Company had a change in estimate relating to the Tax Cuts and Jobs Act that resulted in a net increase of \$1,304,711 of deferred tax assets and liabilities.

### **C. Accounting Policies**

- (1) - (5) No significant change.
- (6) Loan-backed securities are stated at amortized cost. Pre-payment assumptions for loan-backed securities and structured securities were obtained from broker-dealer survey values or internal estimates. These assumptions are consistent with the current interest rate and economic environment. The retrospective adjustment method is used to value all loan-backed securities. Non-investment grade loan-backed securities are stated at the lower of amortized cost or fair value.
- (7) - (14) No significant change.

### **D. Going Concern**

Not applicable.

## **2. Accounting Changes and Corrections of Errors**

Not applicable.

## **3. Business Combinations and Goodwill**

Not applicable.

## **4. Discontinued Operations**

Not applicable.

## **5. Investments**

### **A. - C.**

Not applicable.

### **D. Loan-Backed Securities**

- (1) Prepayment assumptions for single-class and multi-class mortgage-backed and asset-backed securities were obtained from broker-dealer survey values or internal estimates. The Company used various third-party pricing sources in determining the market value of its loan-backed securities.
- (2) The Company did not recognize other-than-temporary impairments on its loan-backed securities during the nine months ended September 30, 2018.
- (3) The Company did not hold other-than-temporary impairments on its loan-backed securities at September 30, 2018.
- (4) The Company had no impaired securities for which an other-than-temporary impairment had not been recognized in earnings as a realized loss at September 30, 2018.
- (5) The Company had no impaired loan-backed securities at September 30, 2018.

STATEMENT AS OF SEPTEMBER 30, 2018 OF THE Empire HealthChoice HMO, Inc.

NOTES TO FINANCIAL STATEMENTS

**E. Dollar Repurchase Agreements and/or Securities Lending Transactions**

- (1) Not applicable.
- (2) No significant change.
- (3) Collateral Received
  - a. No significant change.
  - b. The fair value of that collateral and of the portion of that collateral that it has sold or repledged 

\$	<u>10,693,910</u>
----	-------------------
  - c. No significant change.
- (4) Not applicable.
- (5) No significant change.
- (6) Not applicable.
- (7) Not applicable.

**F. Repurchase Agreements Transactions Accounted for as Secured Borrowing**

The Company did not enter into repurchase agreement transactions accounted for as secured borrowing at September 30, 2018.

**G. Reverse Repurchase Agreements Transactions Accounted for as Secured Borrowing**

The Company did not enter into reverse repurchase agreement transactions accounted for as a secured borrowing at September 30, 2018.

**H. Repurchase Agreements Transactions Accounted for as a Sale**

The Company did not enter into repurchase agreement transactions accounted for as a sale at September 30, 2018.

**I. Reverse Repurchase Agreements Transactions Accounted for as a Sale**

The Company did not enter into reverse repurchase agreement transactions accounted for as a sale at September 30, 2018.

**J. Real Estate**

No significant change.

**K. Investments in Low-Income Housing Tax Credits**

No significant change.

**L. Restricted Assets**

No significant change.

**M. Working Capital Finance Investments**

Not applicable.

**N. Offsetting and Netting of Assets and Liabilities**

The Company had no netted assets and liabilities at September 30, 2018.

NOTES TO FINANCIAL STATEMENTS

**O. Structured Notes**

Not applicable.

**P. 5\* Securities**

The Company has no 5\* Securities as of September 30, 2018.

**Q. Short Sales**

The Company did not have any short sales at September 30, 2018.

**R. Prepayment Penalty and Acceleration Fees**

The Company did not have any prepayment penalty or acceleration fees at September 30, 2018.

**6. Joint Ventures, Partnerships and Limited Liability Companies**

Not applicable.

**7. Investment Income**

No significant change.

**8. Derivative Instruments**

Not applicable.

**9. Income Taxes**

No significant change.

**10. Information Concerning Parent, Subsidiaries, Affiliates and Other Related Parties**

**A. Nature of the Relationship**

No significant change.

**B. Significant Transactions for the Period**

No significant change.

**C. Intercompany Management and Service Arrangements**

No significant change.

**D. Amounts Due to or from Related Parties**

At September 30, 2018, the Company reported no amounts due from affiliates and \$102,698,503 due to affiliates. The payable balance represents intercompany transactions that will be settled in accordance with the settlement terms of the intercompany agreement.

**E. - N.**

No significant change.

NOTES TO FINANCIAL STATEMENTS

**11. Debt**

Not applicable.

**12. Retirement Plans, Deferred Compensation, Postemployment Benefits and Compensated Absences and Other Postretirement Benefit Plans**

**A. Defined Benefit Plan**

Not applicable.

**B.** Not applicable.

**C.** Not applicable.

**D.** Not applicable.

**E. Defined Contribution Plans**

Not applicable.

**F. Multiemployer Plans**

The Company does not participate in a multiemployer plan.

**G. Consolidated/Holding Company Plans**

No significant change.

**H. Post Employment Benefits and Compensated Absences**

Not applicable.

**I. Impact of Medicare Modernization Act on Postretirement Benefits (INT 04-17)**

Not applicable.

**13. Capital and Surplus, Shareholders' Dividend Restrictions and Quasi-Reorganizations**

**(1) - (8)**

No significant change.

**(9) Changes in Special Surplus Funds**

The change in balances of special surplus funds from the prior year are due to changes in the amounts segregated for the estimated Affordable Care Act ("ACA") health insurer fee. As of September 30, 2018, the Company fully expensed the estimated 2018 insurer fee. The insurer fee was suspended for 2019.

**(10) - (13)**

No significant change.

**14. Liabilities, Contingencies and Assessments**

No significant change.

NOTES TO FINANCIAL STATEMENTS

**15. Leases**

Not applicable.

**16. Information About Financial Instruments With Off-Balance Sheet Risk and Financial Instruments With Concentrations of Credit Risk**

Not applicable.

**17. Sale, Transfer and Servicing of Financial Assets and Extinguishments of Liabilities**

**A. Transfers of Receivables Reported as Sales**

Not applicable.

**B. Transfer and Servicing of Financial Assets**

(1) The Company participates in a securities lending program whereby marketable securities in its investment portfolio are transferred to independent brokers or dealers. At September 30, 2018 the fair value of securities loaned was \$10,465,267 and the carrying value of securities loaned was \$10,681,599.

(2) - (7) Not applicable.

**C. Wash Sales**

(1) In the course of the Company's asset management, securities may be sold and reacquired within 30 days of the sale date to enhance the yield on the investments.

(2) At September 30, 2018, there were no wash sales involving securities with an NAIC designation of 3 or below or unrated.

**18. Gain or Loss to the Reporting Entity from Uninsured Plans and the Uninsured Portion of Partially Insured Plans**

**A. Administrative Services Only Plans**

Not applicable.

**B. Administrative Services Contract Plans**

Not applicable.

**C. Medicare or Other Similarly Structured Cost-Based Reimbursement Contract**

No significant change.

**19. Direct Premium Written/Produced by Managing General Agents/Third Party Administrators**

Not applicable.

STATEMENT AS OF SEPTEMBER 30, 2018 OF THE Empire HealthChoice HMO, Inc.  
NOTES TO FINANCIAL STATEMENTS

**20. Fair Value Measurements**

**A.**

(1) Fair Value Measurement at Reporting Date

Description for each class of asset or liability	(Level 1)	(Level 2)	(Level 3)	Total	Net Asset Value ("NAV") Included in Level 2
a. Assets at fair value					
Bonds					
U.S. special revenues	\$ —	\$ 713,635	\$ —	\$ 713,635	\$ —
Industrial and misc	—	730,518	—	730,518	—
Total bonds	\$ —	\$ 1,444,153	\$ —	\$ 1,444,153	\$ —
Total assets at fair value	\$ —	\$ 1,444,153	\$ —	\$ 1,444,153	\$ —

(2) Fair Value Measurement in (Level 3) of the Fair Value Hierarchy

There are no investments in Level 3 as of September 30, 2018.

(3) The Company's policy is to recognize transfers between Levels, if any, as of the beginning of the reporting period.

(4) Fair values of bonds are based on quoted market prices, where available. These fair values are obtained primarily from third party pricing services, which generally use Level 1 or Level 2 inputs, for the determination of fair value to facilitate fair value measurements and disclosures. Level 2 securities primarily include United States government securities, corporate securities, securities from states, municipalities and political subdivisions, residential mortgage-backed securities and certain other asset-backed securities. For securities not actively traded, the pricing services may use quoted market prices of comparable instruments or discounted cash flow analyses, incorporating inputs that are currently observable in the markets for similar securities. Inputs that are often used in the valuation methodologies include, but are not limited to, broker quotes, benchmark yields, credit spreads, default rates and prepayment speeds. The Company has controls in place to review the pricing services' qualifications and procedures used to determine fair values. In addition, the Company periodically reviews the pricing services' pricing methodologies, data sources and pricing inputs to ensure the fair values obtained are reasonable.

There have been no significant changes in the valuation techniques during the current period.

**B. Fair Value Measurements Under Other Accounting Pronouncements**

Not applicable.

**C. Financial Instruments**

Type of Financial Instrument	Aggregate Fair Value	Admitted Assets	(Level 1)	(Level 2)	(Level 3)	Not Practicable (Carrying Value)	Net Asset Value ("NAV") Included in Level 2
Bonds	\$ 324,016,048	\$ 328,157,345	\$ —	\$ 324,016,048	\$ —	\$ —	\$ —
Short-term investments	703,556	704,090	—	703,556	—	—	—
Securities lending collateral asset	10,693,910	10,689,391	5,530,912	5,162,998	—	—	—



STATEMENT AS OF SEPTEMBER 30, 2018 OF THE Empire HealthChoice HMO, Inc.  
NOTES TO FINANCIAL STATEMENTS

**D. Not Practicable to Estimate Fair Value**

There are no financial instruments that were not practicable to estimate at fair value.

**21. Other Items**

No significant change.

**22. Events Subsequent**

Subsequent events have been considered through November 12, 2018 for the statutory statement issued on November 13, 2018. There were no events occurring subsequent to September 30, 2018 requiring recognition or disclosure.

**23. Reinsurance**

No significant change.

**24. Retrospectively Rated Contracts & Contracts Subject to Redetermination**

**A. - D.**

No significant change.

STATEMENT AS OF SEPTEMBER 30, 2018 OF THE Empire HealthChoice HMO, Inc.

NOTES TO FINANCIAL STATEMENTS

E. Risk Sharing Provisions of the Affordable Care Act ("ACA")

(1)	Did the reporting entity write accident and health insurance premium that is subject to the Affordable Care Act risk sharing provisions (YES/NO)?	Yes
(2)	Impact of Risk-Sharing Provisions of the Affordable Care Act on Admitted Assets, Liabilities and Revenue for the Current Year	
a.	Permanent ACA Risk Adjustment Program Assets	
	Assets	
	1. Premium adjustments receivable due to ACA Risk Adjustment (including high risk pool payments)	\$ 60,890,347
	Liabilities	
	2. Risk adjustment user fees payable for ACA Risk Adjustment	\$ 4,020
	3. Premium adjustments payable due to ACA Risk Adjustment (including high risk pool premiums)	\$ 1,079,905
	Operations (Revenue & Expense)	
	Reported as revenue in premium for accident and health contracts (written/ collected) due to ACA Risk Adjustment	\$ 89,291
	5. Reported in expenses as ACA risk adjustment user fees (incurred/paid)	\$ (3,347)
b.	Transitional ACA Reinsurance Program	
	Assets	
	1. Amounts recoverable for claims paid due to ACA Reinsurance	\$ 143,487
	2. Amounts recoverable for claims unpaid due to ACA Reinsurance (contra liability)	\$ —
	Amounts receivable relating to uninsured plans for contributions for ACA Reinsurance	\$ —
	Liabilities	
	Liabilities for contributions payable due to ACA Reinsurance - not reported as ceded premium	\$ —
	5. Ceded reinsurance premiums payable due to ACA Reinsurance	\$ —
	Liability for amounts held under uninsured plans contributions for ACA Reinsurance	\$ —
	Operations (Revenue & Expense)	
	7. Ceded reinsurance premiums due to ACA Reinsurance	\$ —
	Reinsurance recoveries (income statement) due to ACA Reinsurance payments or expected payments	\$ —
	9. ACA Reinsurance contributions - not reported as ceded premium	\$ —
c.	Temporary ACA Risk Corridors Program	
	Assets	
	1. Accrued retrospective premium due to ACA Risk Corridors	\$ —
	Liabilities	
	Reserve for rate credits or policy experience rating refunds due to ACA Risk Corridors	\$ —
	Operations (Revenue & Expense)	
	3. Effect of ACA Risk Corridors on net premium income (paid/received)	\$ —
	4. Effect of ACA Risk Corridors on change in reserves for rate credits	\$ —
	Line items where the amount is zero is due to no balance and/or no activity as of the reporting date.	

STATEMENT AS OF SEPTEMBER 30, 2018 OF THE Empire HealthChoice HMO, Inc.

NOTES TO FINANCIAL STATEMENTS

(3) Roll-forward of prior year ACA risk-sharing provisions for the following asset (gross of any nonadmission) and liability balances, along with the reasons for adjustments to prior year balance.

	Accrued During the Prior Year on Business Written Before December 31 of the Prior Year		Received or Paid as of the Current Year on Business Written Before December 31 of the Prior Year		Differences		Adjustments			Unsettled Balances as of the Reporting Date	
	1	2	3	4	5	6	7	8	Ref	9	10
	Receivable	(Payable)	Receivable	(Payable)	Receivable	(Payable)	Receivable	(Payable)		Receivable	(Payable)
a. Permanent ACA Risk Adjustment Program											
1. Premium adjustments receivable (including high risk pool payments)	\$ 58,798,885	\$ —	\$ 31,191	\$ —	\$ 58,767,694	\$ —	\$ 2,122,653	\$ —	A	\$ 60,890,347	\$ —
2. Premium adjustments (payable) (including high risk pool premiums)	\$ —	\$ —	\$ —	\$ 953,458	\$ —	\$ (953,458)	\$ —	\$ 953,458	B	\$ —	\$ —
3. Subtotal ACA Permanent Risk Adjustment Program	\$ 58,798,885	\$ —	\$ 31,191	\$ 953,458	\$ 58,767,694	\$ (953,458)	\$ 2,122,653	\$ 953,458		\$ 60,890,347	\$ —
b. Transitional ACA Reinsurance Program											
1. Amounts recoverable for claims paid	\$ 4,282,660	\$ —	\$ 4,139,173	\$ —	\$ 143,487	\$ —	\$ —	\$ —	C	\$ 143,487	\$ —
2. Amounts recoverable for claims unpaid (contra liability)	\$ —	\$ —	\$ —	\$ —	\$ —	\$ —	\$ —	\$ —	D	\$ —	\$ —
3. Amounts receivable relating to uninsured plans	\$ —	\$ —	\$ —	\$ —	\$ —	\$ —	\$ —	\$ —	E	\$ —	\$ —
4. Liabilities for contributions payable due to ACA Reinsurance - not reported as ceded premium	\$ —	\$ —	\$ —	\$ —	\$ —	\$ —	\$ —	\$ —	F	\$ —	\$ —
5. Ceded reinsurance premiums payable	\$ —	\$ —	\$ —	\$ —	\$ —	\$ —	\$ —	\$ —	G	\$ —	\$ —
6. Liability for amounts held under uninsured plans	\$ —	\$ —	\$ —	\$ —	\$ —	\$ —	\$ —	\$ —	H	\$ —	\$ —
7. Subtotal ACA Transitional Reinsurance Program	\$ 4,282,660	\$ —	\$ 4,139,173	\$ —	\$ 143,487	\$ —	\$ —	\$ —		\$ 143,487	\$ —
c. Temporary ACA Risk Corridors Program											
1. Accrued retrospective premium	\$ —	\$ —	\$ —	\$ —	\$ —	\$ —	\$ —	\$ —	I	\$ —	\$ —
2. Reserve for rate credits or policy experience rating refunds	\$ —	\$ —	\$ —	\$ —	\$ —	\$ —	\$ —	\$ —	J	\$ —	\$ —
3. Subtotal ACA Risk Corridors Program	\$ —	\$ —	\$ —	\$ —	\$ —	\$ —	\$ —	\$ —		\$ —	\$ —
d. Total for ACA Risk Sharing Provisions	\$ 63,081,545	\$ —	\$ 4,170,364	\$ 953,458	\$ 58,911,181	\$ (953,458)	\$ 2,122,653	\$ 953,458		\$ 61,033,834	\$ —

Explanations of adjustments

- A Adjustments were made to reflect the ending balance in the Centers for Medicare & Medicaid Services "Summary Report on Permanent Risk Adjustment Transfers for the 2017 Benefit Year."
- B Adjustments were made to reflect the ending balance in the Centers for Medicare & Medicaid Services "Summary Report on Permanent Risk Adjustment Transfers for the 2017 Benefit Year."
- C Not applicable.
- D Not applicable.
- E Not applicable.
- F Not applicable.
- G Not applicable.
- H Not applicable.
- I Not applicable.
- J Not applicable.

STATEMENT AS OF SEPTEMBER 30, 2018 OF THE Empire HealthChoice HMO, Inc.

NOTES TO FINANCIAL STATEMENTS

(4) Roll-Forward of Risk Corridors Asset and Liability Balances by Program Benefit Year.

Risk Corridors Program Year	Accrued During the Prior Year on Business Written Before December 31 of the Prior Year		Received or Paid as of the Current Year on Business Written Before December 31 of the Prior Year		Differences		Adjustments			Unsettled Balances as of the Reporting Date	
	1	2	3	4	Prior Year Accrued Less Payments (Col 1 - 3)	Prior Year Accrued Less Payments (Col 2 - 4)	To Prior Year Balances	To Prior Year Balances		Cumulative Balance from Prior Years (Col 1 - 3 + 7)	Cumulative Balance from Prior Years (Col 2 - 4 + 8)
	Receivable	(Payable)	Receivable	(Payable)	Receivable	(Payable)	Receivable	(Payable)	Ref	Receivable	(Payable)
a. 2014											
1. Accrued retrospective premium	\$ —	\$ —	\$ —	\$ —	\$ —	\$ —	\$ —	\$ —	A	\$ —	\$ —
2. Reserve for rate credits for policy experience rating refunds	\$ —	\$ —	\$ —	\$ —	\$ —	\$ —	\$ —	\$ —	B	\$ —	\$ —
b. 2015											
1. Accrued retrospective premium	\$ —	\$ —	\$ —	\$ —	\$ —	\$ —	\$ —	\$ —	C	\$ —	\$ —
2. Reserve for rate credits for policy experience rating refunds	\$ —	\$ —	\$ —	\$ —	\$ —	\$ —	\$ —	\$ —	D	\$ —	\$ —
c. 2016											
1. Accrued retrospective premium	\$ —	\$ —	\$ —	\$ —	\$ —	\$ —	\$ —	\$ —	E	\$ —	\$ —
2. Reserve for rate credits for policy experience rating refunds	\$ —	\$ —	\$ —	\$ —	\$ —	\$ —	\$ —	\$ —	F	\$ —	\$ —
d. Total for Risk Corridors	\$ —	\$ —	\$ —	\$ —	\$ —	\$ —	\$ —	\$ —		\$ —	\$ —

Explanations of adjustments

- A Not applicable.
- B Not applicable.
- C Not applicable.
- D Not applicable.
- E Not applicable.
- F Not applicable.

24E(4)d (Columns 1 through 10) should equal 24E(3)c3 (Column 1 through 10 respectively)

(5) ACA Risk Corridors Receivable as of Reporting Date.

Risk Corridors Program Year	1	2	3	4	5	6
	Estimated Amount to be Filed or Final Amount Filed with CMS	Non-Accrued Amounts for Impairment or Other Reasons	Amounts received from CMS	Asset Balance (Gross of Non-admissions) (1 - 2 - 3)	Non-admitted Amount	Net Admitted Asset (4 - 5)
a. 2014	\$ —	\$ —	\$ —	\$ —	\$ —	\$ —
b. 2015	\$ —	\$ —	\$ —	\$ —	\$ —	\$ —
c. 2016	\$ 8,305,585	\$ 8,305,585	\$ —	\$ —	\$ —	\$ —
d. Total (a + b + c)	\$ 8,305,585	\$ 8,305,585	\$ —	\$ —	\$ —	\$ —

24E(5)d (Columns 4) should equal 24E(3)c1 (Column 9)

24E(5)d (Columns 6) should equal 24E(2)c1

25. Change in Incurred Claims and Claim Adjustment Expenses

- A. The estimated cost of claims and claim adjustment expense attributable to insured events of prior years decreased by \$19,139,600 during 2018. This is approximately 12.1% of unpaid claims and claim adjustment expenses of \$158,450,564 as of December 31, 2017. The redundancy reflects the decreases in estimated claims and claims adjustment expenses as a result of claims payment during the year, and as additional information is received regarding claims incurred prior to 2018. Recent claim development trends are also taken into account in evaluating the overall adequacy of unpaid claims and unpaid claim adjustment expense.
- B. There were no significant changes in methodologies and assumptions used in calculating the liability for unpaid losses and loss adjustment expenses.

26. Intercompany Pooling Arrangements

Not applicable.

STATEMENT AS OF SEPTEMBER 30, 2018 OF THE Empire HealthChoice HMO, Inc.  
NOTES TO FINANCIAL STATEMENTS

**27. Structured Settlements**

Not applicable.

**28. Health Care Receivables**

No significant change.

**29. Participating Policies**

Not applicable.

**30. Premium Deficiency Reserves**

The Company recorded premium deficiency reserves of \$7,502,129 at September 30, 2018.

**31. Anticipated Salvage and Subrogation**

No significant change.

GENERAL INTERROGATORIES

PART 1 - COMMON INTERROGATORIES

GENERAL

- 1.1

Did the reporting entity experience any material transactions requiring the filing of Disclosure of Material Transactions with the State of Domicile, as required by the Model Act?

Yes [ ] No [ X ]
- 1.2

If yes, has the report been filed with the domiciliary state?

Yes [ ] No [ ]
- 2.1

Has any change been made during the year of this statement in the charter, by-laws, articles of incorporation, or deed of settlement of the reporting entity?

Yes [ ] No [ X ]
- 2.2

If yes, date of change:
- 3.1

Is the reporting entity a member of an Insurance Holding Company System consisting of two or more affiliated persons, one or more of which is an insurer?  
If yes, complete Schedule Y, Parts 1 and 1A.

Yes [ X ] No [ ]
- 3.2

Have there been any substantial changes in the organizational chart since the prior quarter end?

Yes [ ] No [ X ]
- 3.3

If the response to 3.2 is yes, provide a brief description of those changes.  
N/A
- 3.4

Is the reporting entity publicly traded or a member of a publicly traded group?

Yes [ X ] No [ ]
- 3.5

If the response to 3.4 is yes, provide the CIK (Central Index Key) code issued by the SEC for the entity/group.

0001156039
- 4.1

Has the reporting entity been a party to a merger or consolidation during the period covered by this statement?

Yes [ ] No [ X ]
- 4.2

If yes, provide the name of the entity, NAIC Company Code, and state of domicile (use two letter state abbreviation) for any entity that has ceased to exist as a result of the merger or consolidation.

1	2	3
Name of Entity	NAIC Company Code	State of Domicile
5.

If the reporting entity is subject to a management agreement, including third-party administrator(s), managing general agent(s), attorney-in-fact, or similar agreement, have there been any significant changes regarding the terms of the agreement or principals involved?  
If yes, attach an explanation.

Yes [ ] No [ X ] N/A [ ]
- 6.1

State as of what date the latest financial examination of the reporting entity was made or is being made.

12/31/2016
- 6.2

State the as of date that the latest financial examination report became available from either the state of domicile or the reporting entity. This date should be the date of the examined balance sheet and not the date the report was completed or released.

12/31/2016
- 6.3

State as of what date the latest financial examination report became available to other states or the public from either the state of domicile or the reporting entity. This is the release date or completion date of the examination report and not the date of the examination (balance sheet date).

10/16/2018
- 6.4

By what department or departments?  
New York State Department of Financial Services
- 6.5

Have all financial statement adjustments within the latest financial examination report been accounted for in a subsequent financial statement filed with Departments?

Yes [ ] No [ ] N/A [ X ]
- 6.6

Have all of the recommendations within the latest financial examination report been complied with?

Yes [ X ] No [ ] N/A [ ]
- 7.1

Has this reporting entity had any Certificates of Authority, licenses or registrations (including corporate registration, if applicable) suspended or revoked by any governmental entity during the reporting period?

Yes [ ] No [ X ]
- 7.2

If yes, give full information:
- 8.1

Is the company a subsidiary of a bank holding company regulated by the Federal Reserve Board?

Yes [ ] No [ X ]
- 8.2

If response to 8.1 is yes, please identify the name of the bank holding company.
- 8.3

Is the company affiliated with one or more banks, thrifts or securities firms?

Yes [ ] No [ X ]
- 8.4

If response to 8.3 is yes, please provide below the names and location (city and state of the main office) of any affiliates regulated by a federal regulatory services agency [i.e. the Federal Reserve Board (FRB), the Office of the Comptroller of the Currency (OCC), the Federal Deposit Insurance Corporation (FDIC) and the Securities Exchange Commission (SEC)] and identify the affiliate's primary federal regulator.

1	2	3	4	5	6
Affiliate Name	Location (City, State)	FRB	OCC	FDIC	SEC

GENERAL INTERROGATORIES

- 9.1

Are the senior officers (principal executive officer, principal financial officer, principal accounting officer or controller, or persons performing similar functions) of the reporting entity subject to a code of ethics, which includes the following standards? .....  
(a) Honest and ethical conduct, including the ethical handling of actual or apparent conflicts of interest between personal and professional relationships;  
(b) Full, fair, accurate, timely and understandable disclosure in the periodic reports required to be filed by the reporting entity;  
(c) Compliance with applicable governmental laws, rules and regulations;  
(d) The prompt internal reporting of violations to an appropriate person or persons identified in the code; and  
(e) Accountability for adherence to the code.

Yes [ X ] No [ ]
- 9.11

If the response to 9.1 is No, please explain:
- 9.2

Has the code of ethics for senior managers been amended? .....

Yes [ X ] No [ ]
- 9.21

If the response to 9.2 is Yes, provide information related to amendment(s).  
Administrative changes were made in February 2018 to update the President & CEO letter, and to clarify our sexual harassment policy.
- 9.3

Have any provisions of the code of ethics been waived for any of the specified officers? .....

Yes [ ] No [ X ]
- 9.31

If the response to 9.3 is Yes, provide the nature of any waiver(s).

FINANCIAL

- 10.1

Does the reporting entity report any amounts due from parent, subsidiaries or affiliates on Page 2 of this statement? .....

Yes [ ] No [ X ]
- 10.2

If yes, indicate any amounts receivable from parent included in the Page 2 amount: .....

\$ .....

INVESTMENT

- 11.1

Were any of the stocks, bonds, or other assets of the reporting entity loaned, placed under option agreement, or otherwise made available for use by another person? (Exclude securities under securities lending agreements.) .....

Yes [ ] No [ X ]
- 11.2

If yes, give full and complete information relating thereto:
12.

Amount of real estate and mortgages held in other invested assets in Schedule BA: .....

\$ .....
13.

Amount of real estate and mortgages held in short-term investments: .....

\$ .....
- 14.1

Does the reporting entity have any investments in parent, subsidiaries and affiliates? .....

Yes [ ] No [ X ]
- 14.2

If yes, please complete the following:
- |   | 1   | 2  |
|---|---|--|
|   | Prior Year-End<br>Book/Adjusted<br>Carrying Value | Current Quarter<br>Book/Adjusted<br>Carrying Value |
| 14.21 Bonds .....   | \$ .....0   | \$ .....0  |
| 14.22 Preferred Stock .....   | \$ .....0   | \$ .....0  |
| 14.23 Common Stock .....  | \$ .....0   | \$ .....0  |
| 14.24 Short-Term Investments .....  | \$ .....0   | \$ .....0  |
| 14.25 Mortgage Loans on Real Estate .....   | \$ .....0   | \$ .....0  |
| 14.26 All Other .....   | \$ .....0   | \$ .....0  |
| 14.27 Total Investment in Parent, Subsidiaries and Affiliates (Subtotal Lines 14.21 to 14.26) ..... | \$ .....0   | \$ .....0  |
| 14.28 Total Investment in Parent included in Lines 14.21 to 14.26 above .....                       | \$ .....  | \$ .....   |
- 15.1

Has the reporting entity entered into any hedging transactions reported on Schedule DB? .....

Yes [ ] No [ X ]
- 15.2

If yes, has a comprehensive description of the hedging program been made available to the domiciliary state? .....  
If no, attach a description with this statement.

Yes [ ] No [ ]

STATEMENT AS OF SEPTEMBER 30, 2018 OF THE Empire HealthChoice HMO, Inc.

GENERAL INTERROGATORIES

16. For the reporting entity's security lending program, state the amount of the following as of the current statement date:
- 16.1

Total fair value of reinvested collateral assets reported on Schedule DL, Parts 1 and 2.

\$

10,693,914
- 16.2

Total book adjusted/carrying value of reinvested collateral assets reported on Schedule DL, Parts 1 and 2

\$

10,689,391
- 16.3

Total payable for securities lending reported on the liability page.

\$

10,689,391

17. Excluding items in Schedule E - Part 3 - Special Deposits, real estate, mortgage loans and investments held physically in the reporting entity's offices, vaults or safety deposit boxes, were all stocks, bonds and other securities, owned throughout the current year held pursuant to a custodial agreement with a qualified bank or trust company in accordance with Section 1, III - General Examination Considerations, F. Outsourcing of Critical Functions, Custodial or Safekeeping Agreements of the NAIC Financial Condition Examiners Handbook? Yes ☒ No ☐

- 17.1 For all agreements that comply with the requirements of the NAIC Financial Condition Examiners Handbook, complete the following:

1 Name of Custodian(s)	2 Custodian Address
JP Morgan Chase Bank, N.A	383 Madison Ave, New York, NY 10179

- 17.2 For all agreements that do not comply with the requirements of the NAIC Financial Condition Examiners Handbook, provide the name, location and a complete explanation:

1 Name(s)	2 Location(s)	3 Complete Explanation(s)

- 17.3 Have there been any changes, including name changes, in the custodian(s) identified in 17.1 during the current quarter? Yes ☐ No ☒

- 17.4 If yes, give full information relating thereto:

1 Old Custodian	2 New Custodian	3 Date of Change	4 Reason

- 17.5 Investment management – Identify all investment advisors, investment managers, broker/dealers, including individuals that have the authority to make investment decisions on behalf of the reporting entity. For assets that are managed internally by employees of the reporting entity, note as such. ["...that have access to the investment accounts"; "...handle securities"]

1 Name of Firm or Individual	2 Affiliation
Anthem, Inc.	A
MacKay Shields LLC	U
McDonnell Investment Management, LLC	U

- 17.5097 For those firms/individuals listed in the table for Question 17.5, do any firms/individuals unaffiliated with the reporting entity (i.e. designated with a "U") manage more than 10% of the reporting entity's assets? Yes ☒ No ☐

- 17.5098 For firms/individuals unaffiliated with the reporting entity (i.e. designated with a "U") listed in the table for Question 17.5, does the total assets under management aggregate to more than 50% of the reporting entity's assets? Yes ☒ No ☐

- 17.6 For those firms or individuals listed in the table for 17.5 with an affiliation code of "A" (affiliated) or "U" (unaffiliated), provide the information for the table below.

1 Central Registration Depository Number	2 Name of Firm or Individual	3 Legal Entity Identifier (LEI)	4 Registered With	5 Investment Management Agreement (IMA) Filed
107717	MacKay Shields LLC	549300Y7LLC0FU7R8H16	Securities Exchange Commission	NO
113878	McDonnell Investment Management, LLC		Securities Exchange Commission	NO

- 18.1 Have all the filing requirements of the Purposes and Procedures Manual of the NAIC Investment Analysis Office been followed? Yes ☒ No ☐

- 18.2 If no, list exceptions:

19. By self-designating 5\*GI securities, the reporting entity is certifying the following elements for each self-designated 5\*GI security:

- a. Documentation necessary to permit a full credit analysis of the security does not exist.
- b. Issuer or obligor is current on all contracted interest and principal payments.
- c. The insurer has an actual expectation of ultimate payment of all contracted interest and principal.

- Has the reporting entity self-designated 5\*GI securities? Yes ☐ No ☒



GENERAL INTERROGATORIES

PART 2 - HEALTH

1. Operating Percentages:
- 1.1 A&H loss percent

88.6 %
- 1.2 A&H cost containment percent

2.2 %
- 1.3 A&H expense percent excluding cost containment expenses

10.3 %
- 2.1 Do you act as a custodian for health savings accounts?

Yes [ ] No [ X ]
- 2.2 If yes, please provide the amount of custodial funds held as of the reporting date

.\$
- 2.3 Do you act as an administrator for health savings accounts?

Yes [ ] No [ X ]
- 2.4 If yes, please provide the balance of the funds administered as of the reporting date

.\$
3. Is the reporting entity licensed or chartered, registered, qualified, eligible or writing business in at least two states?

Yes [ X ] No [ ]
- 3.1 If no, does the reporting entity assume reinsurance business that covers risks residing in at least one state other than the state of domicile of the reporting entity?

Yes [ ] No [ ]

SCHEDULE S - CEDED REINSURANCE

Showing All New Reinsurance Treaties - Current Year to Date

1	2	3	4	5	6	7	8	9
NAIC Company Code	ID Number	Effective Date	Name of Reinsurer	Domiciliary Jurisdiction	Type of Reinsurance Ceded	Type of Reinsurer	Certified Reinsurer Rating (1 through 6)	Effective Date of Certified Reinsurer Rating
NONE								

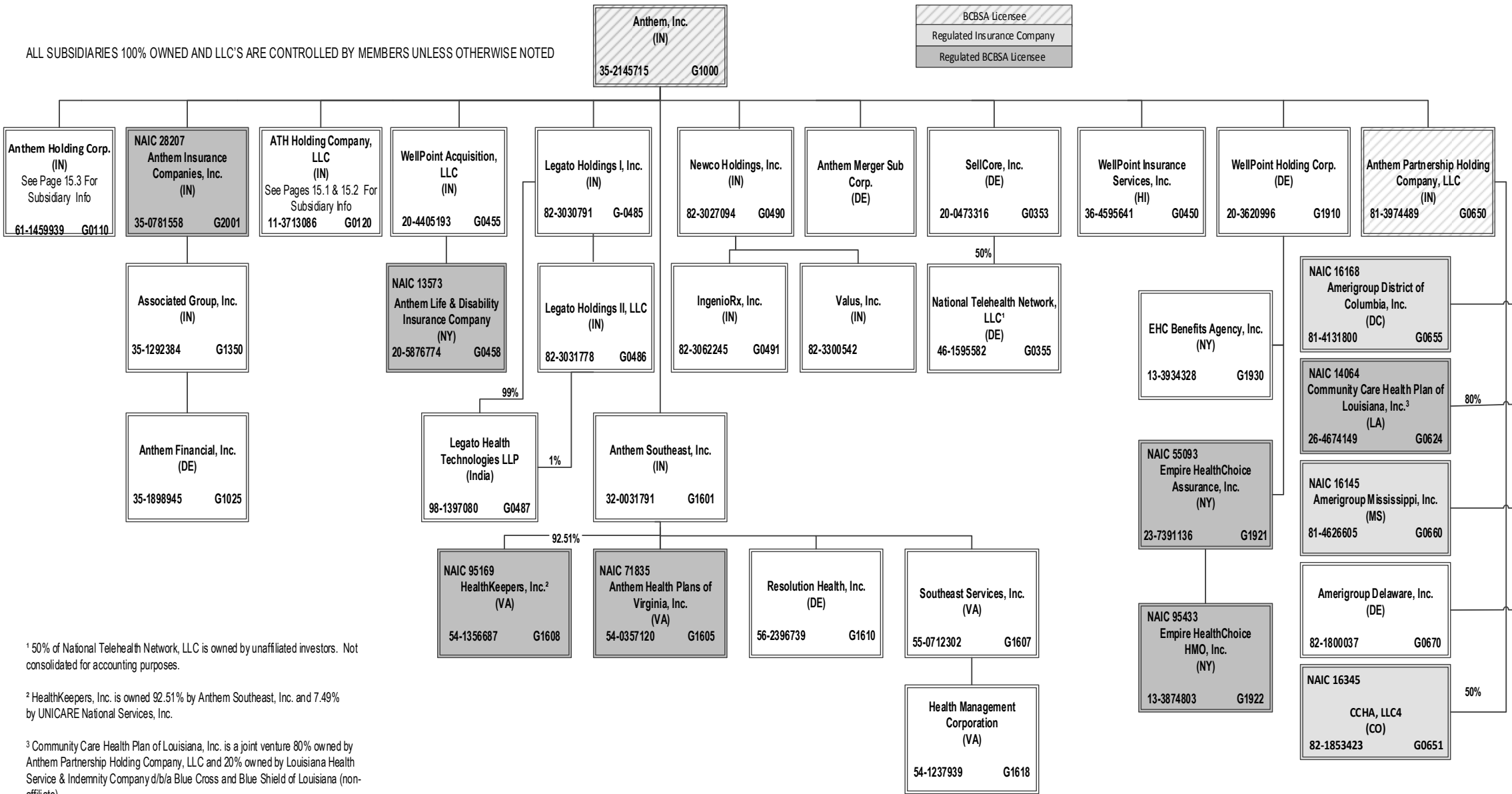
SCHEDULE T - PREMIUMS AND OTHER CONSIDERATIONS

Current Year to Date - Allocated by States and Territories

			1	Direct Business Only							
			2	3	4	5	6	7	8	9	
States, etc.			Active Status (a)	Accident and Health Premiums	Medicare Title XVIII	Medicaid Title XIX	Federal Employees Health Benefits Program Premiums	Life and Annuity Premiums & Other Considerations	Property/ Casualty Premiums	Total Columns 2 Through 7	Deposit-Type Contracts
1.	Alabama .....	AL	N							0	
2.	Alaska .....	AK	N							0	
3.	Arizona .....	AZ	N							0	
4.	Arkansas .....	AR	N							0	
5.	California .....	CA	N							0	
6.	Colorado .....	CO	N							0	
7.	Connecticut .....	CT	N							0	
8.	Delaware .....	DE	N							0	
9.	District of Columbia .....	DC	N							0	
10.	Florida .....	FL	N							0	
11.	Georgia .....	GA	N							0	
12.	Hawaii .....	HI	N							0	
13.	Idaho .....	ID	N							0	
14.	Illinois .....	IL	N							0	
15.	Indiana .....	IN	N							0	
16.	Iowa .....	IA	N							0	
17.	Kansas .....	KS	N							0	
18.	Kentucky .....	KY	N							0	
19.	Louisiana .....	LA	N							0	
20.	Maine .....	ME	L		42,493,021					42,493,021	
21.	Maryland .....	MD	N							0	
22.	Massachusetts .....	MA	N							0	
23.	Michigan .....	MI	N							0	
24.	Minnesota .....	MN	N							0	
25.	Mississippi .....	MS	N							0	
26.	Missouri .....	MO	N							0	
27.	Montana .....	MT	N							0	
28.	Nebraska .....	NE	N							0	
29.	Nevada .....	NV	N							0	
30.	New Hampshire .....	NH	N							0	
31.	New Jersey .....	NJ	N							0	
32.	New Mexico .....	NM	N							0	
33.	New York .....	NY	L	95,926,499	600,475,049					696,401,548	
34.	North Carolina .....	NC	N							0	
35.	North Dakota .....	ND	N							0	
36.	Ohio .....	OH	N							0	
37.	Oklahoma .....	OK	N							0	
38.	Oregon .....	OR	N							0	
39.	Pennsylvania .....	PA	N							0	
40.	Rhode Island .....	RI	N							0	
41.	South Carolina .....	SC	N							0	
42.	South Dakota .....	SD	N							0	
43.	Tennessee .....	TN	N							0	
44.	Texas .....	TX	N							0	
45.	Utah .....	UT	N							0	
46.	Vermont .....	VT	N							0	
47.	Virginia .....	VA	N							0	
48.	Washington .....	WA	N							0	
49.	West Virginia .....	WV	N							0	
50.	Wisconsin .....	WI	N							0	
51.	Wyoming .....	WY	N							0	
52.	American Samoa .....	AS	N							0	
53.	Guam .....	GU	N							0	
54.	Puerto Rico .....	PR	N							0	
55.	U.S. Virgin Islands .....	VI	N							0	
56.	Northern Mariana Islands .....	MP	N							0	
57.	Canada .....	CAN	N							0	
58.	Aggregate Other Aliens .....	OT	XXX	0	0	0	0	0	0	0	0
59.	Subtotal .....	XXX		95,926,499	642,968,070	0	0	0	0	738,894,569	0
60.	Reporting Entity Contributions for Employee Benefit Plans .....	XXX								0	
61.	Totals (Direct Business) .....	XXX		95,926,499	642,968,070	0	0	0	0	738,894,569	0
DETAILS OF WRITE-INS											
58001.	.....		XXX								
58002.	.....		XXX								
58003.	.....		XXX								
58998.	Summary of remaining write-ins for Line 58 from overflow page .....										
			XXX	0	0	0	0	0	0	0	0
58999.	Totals (Lines 58001 through 58003 plus 58998)(Line 58 above) .....										
			XXX	0	0	0	0	0	0	0	0

(a) Active Status Counts:  
L - Licensed or Chartered - Licensed Insurance carrier or domiciled RRG.....2  
E - Eligible - Reporting entities eligible or approved to write surplus lines in the state.....0  
N - None of the above - Not allowed to write business in the state.....55  
R - Registered - Non-domiciled RRGs.....0  
Q - Qualified - Qualified or accredited reinsurer.....0

SCHEDULE Y – INFORMATION CONCERNING ACTIVITIES OF INSURER MEMBERS OF A HOLDING COMPANY GROUP  
PART 1 – ORGANIZATIONAL CHART



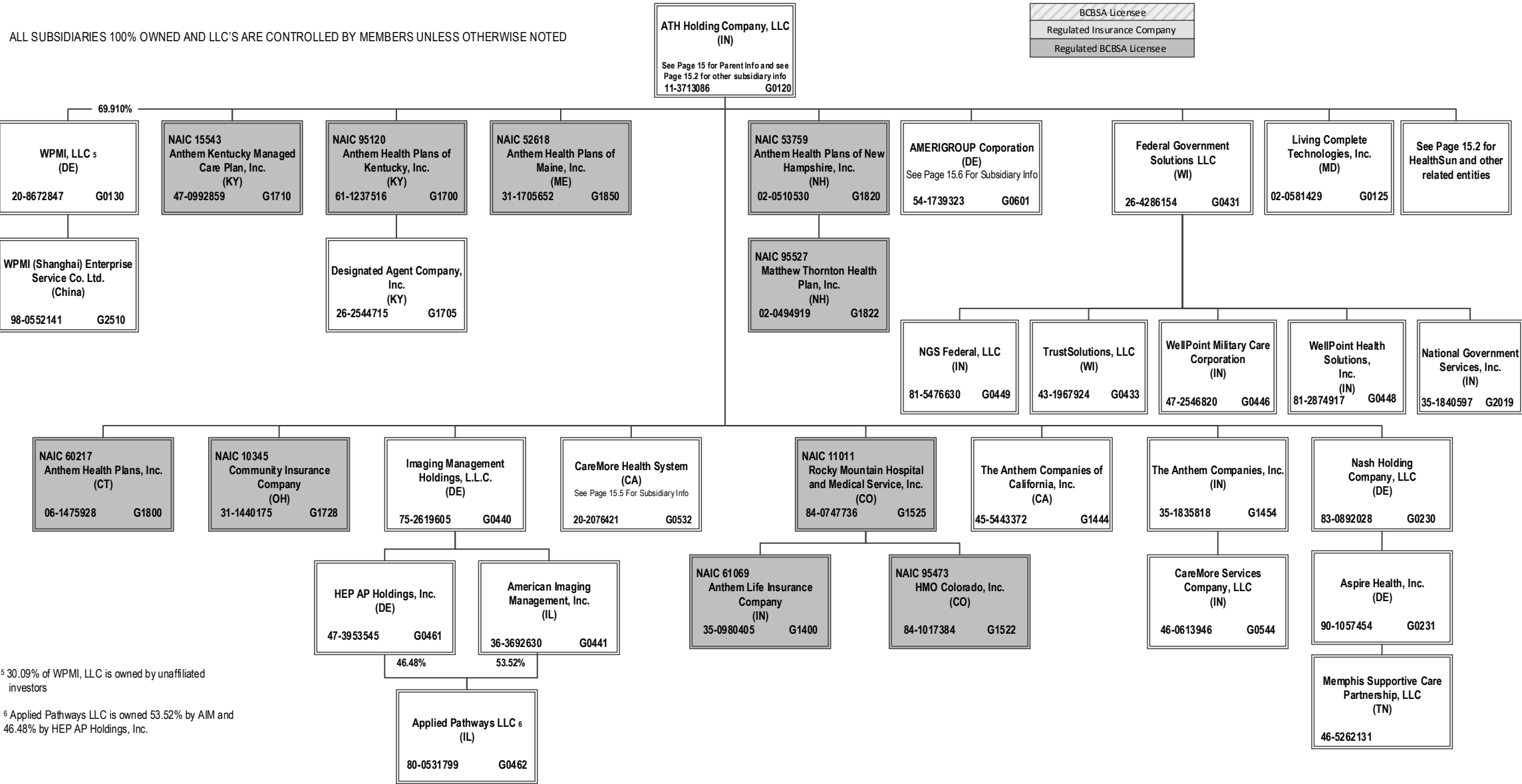
<sup>1</sup> 50% of National Telehealth Network, LLC is owned by unaffiliated investors. Not consolidated for accounting purposes.

<sup>2</sup> HealthKeepers, Inc. is owned 92.51% by Anthem Southeast, Inc. and 7.49% by UNICARE National Services, Inc.

<sup>3</sup> Community Care Health Plan of Louisiana, Inc. is a joint venture 80% owned by Anthem Partnership Holding Company, LLC and 20% owned by Louisiana Health Service & Indemnity Company d/b/a Blue Cross and Blue Shield of Louisiana (non-affiliate)

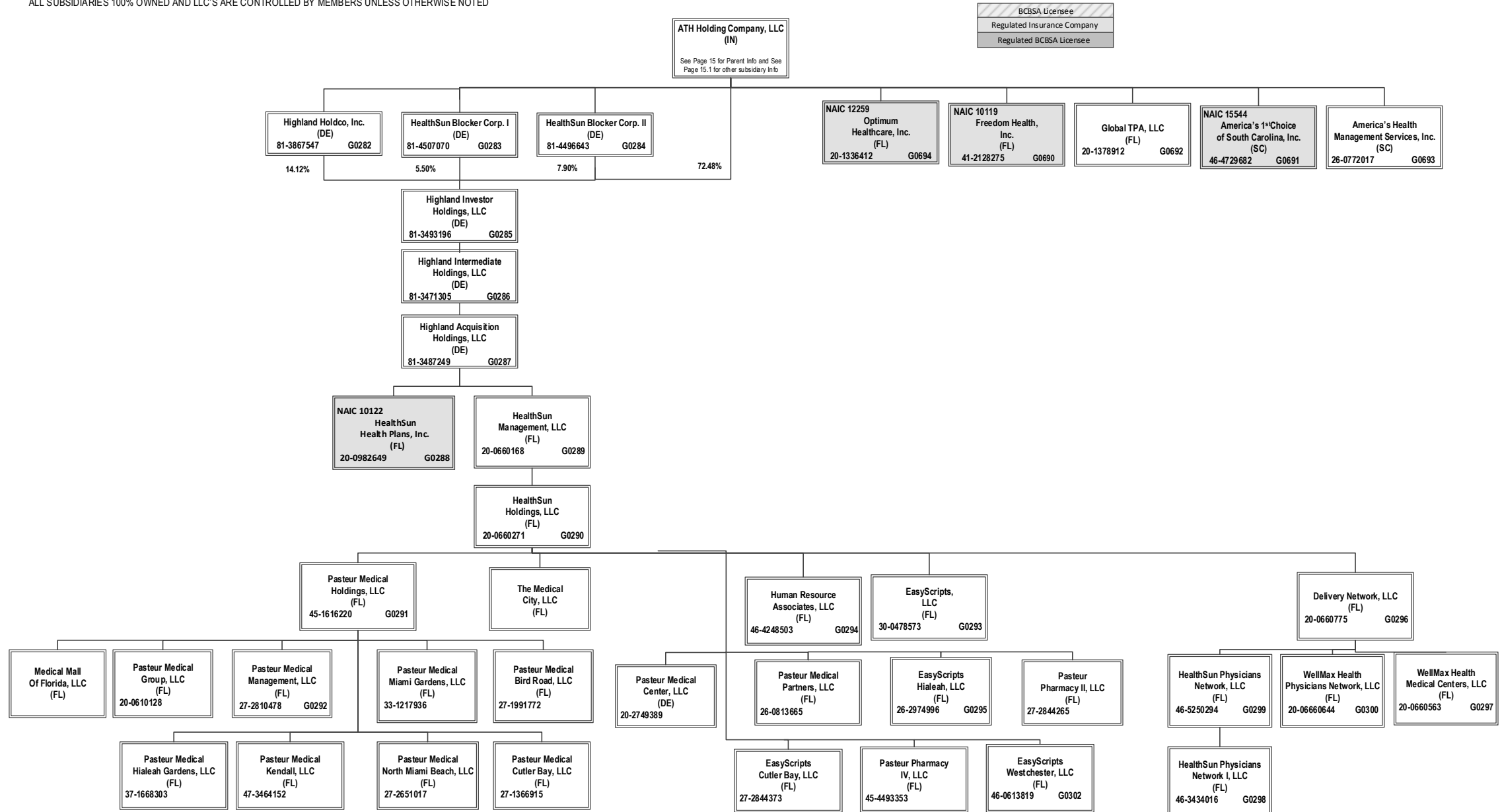
<sup>4</sup> CCHA, LLC is a joint venture 50% owned by Anthem Partnership Holding Company, LLC and 50% owned by Colorado Community Health Alliance, LLC (non-affiliate)

SCHEDULE Y – INFORMATION CONCERNING ACTIVITIES OF INSURER MEMBERS OF A HOLDING COMPANY GROUP  
PART 1 – ORGANIZATIONAL CHART



**SCHEDULE Y – INFORMATION CONCERNING ACTIVITIES OF INSURER MEMBERS OF A HOLDING COMPANY GROUP**  
**PART 1 – ORGANIZATIONAL CHART**

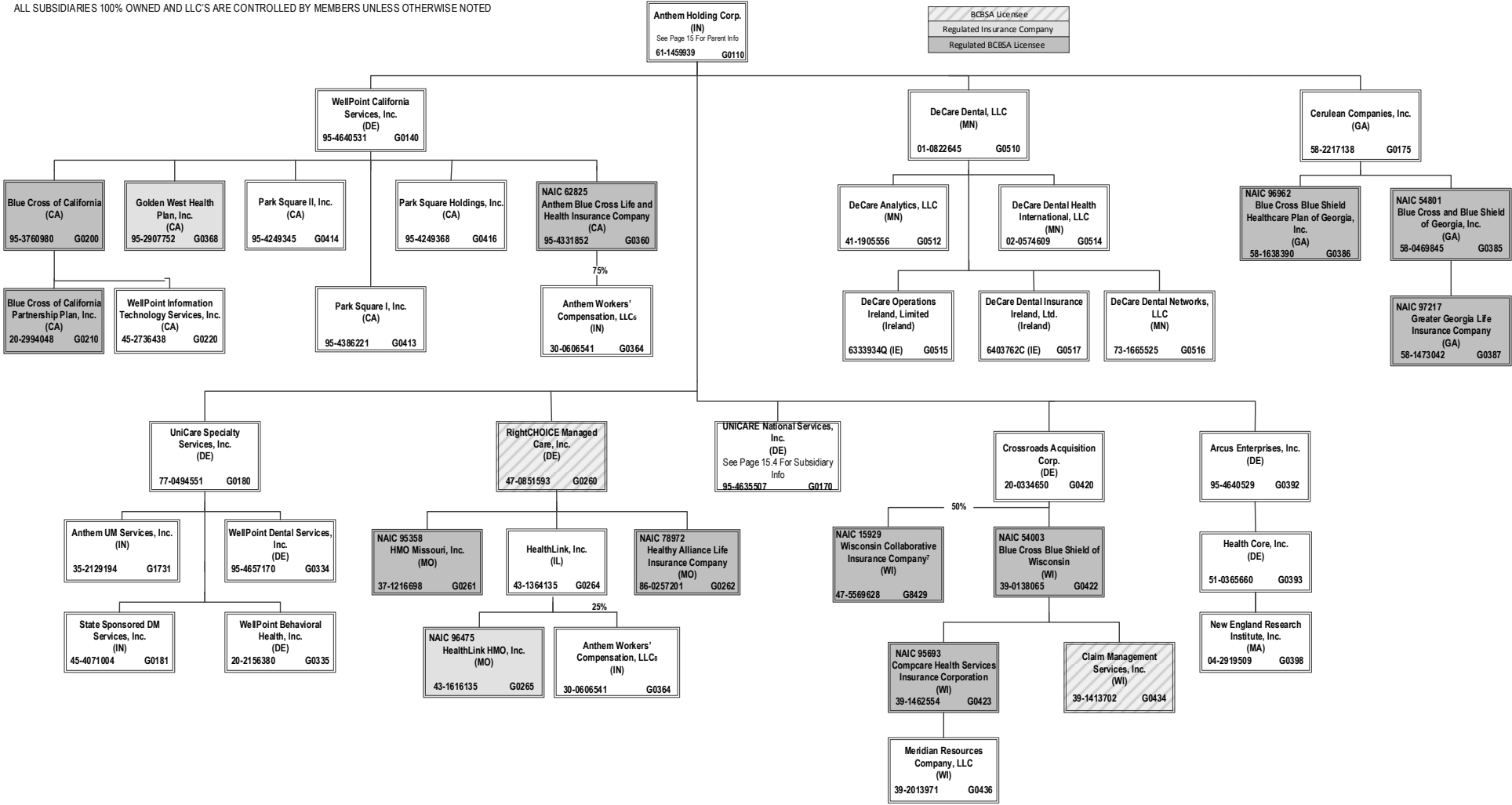
BCBSA Licensee
Regulated Insurance Company
Regulated BCBSA Licensee



SCHEDULE Y – INFORMATION CONCERNING ACTIVITIES OF INSURER MEMBERS OF A HOLDING COMPANY GROUP

PART 1 – ORGANIZATIONAL CHART

ALL SUBSIDIARIES 100% OWNED AND LLC'S ARE CONTROLLED BY MEMBERS UNLESS OTHERWISE NOTED

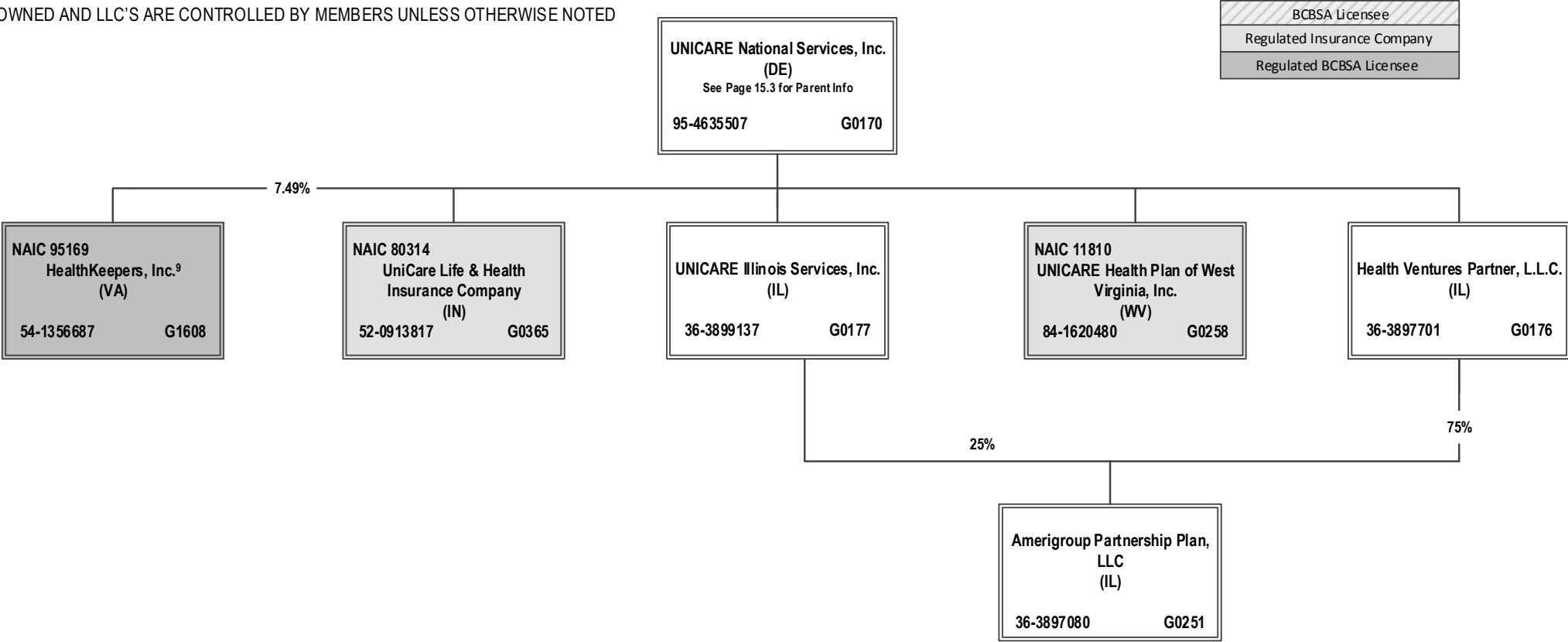


<sup>7</sup> 50% of WCIC is owned by Aurora Health Care, Inc. (non-affiliate). Not consolidated for accounting purposes.

<sup>8</sup> Anthem Workers' Compensation LLC is owned 75% by Anthem Blue Cross Life and Health Insurance Company and 25% by HealthLink, Inc.

SCHEDULE Y – INFORMATION CONCERNING ACTIVITIES OF INSURER MEMBERS OF A HOLDING COMPANY GROUP  
PART 1 – ORGANIZATIONAL CHART

ALL SUBSIDIARIES 100% OWNED AND LLC'S ARE CONTROLLED BY MEMBERS UNLESS OTHERWISE NOTED



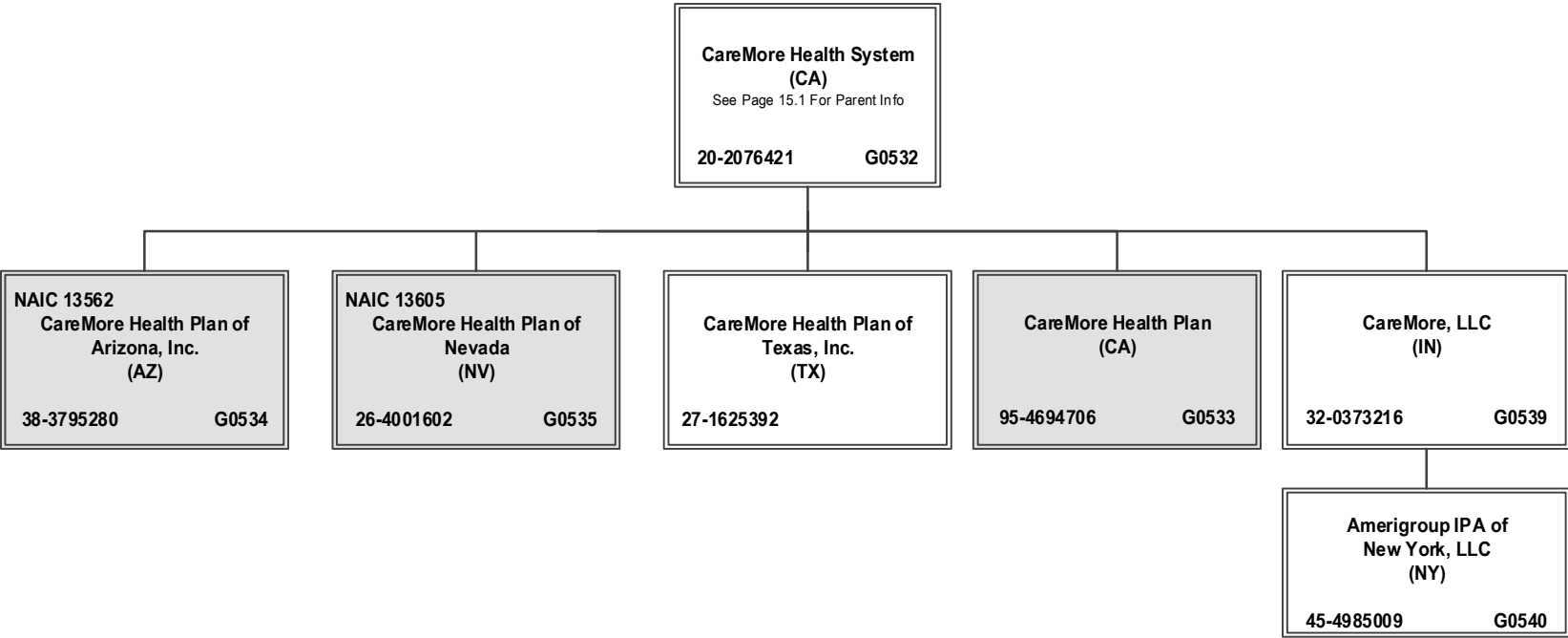
<sup>9</sup> HealthKeepers, Inc. is owned 92.51% by Anthem Southeast, Inc. and 7.49% by UNICARE National Services, Inc.



SCHEDULE Y – INFORMATION CONCERNING ACTIVITIES OF INSURER MEMBERS OF A HOLDING COMPANY GROUP  
PART 1 – ORGANIZATIONAL CHART

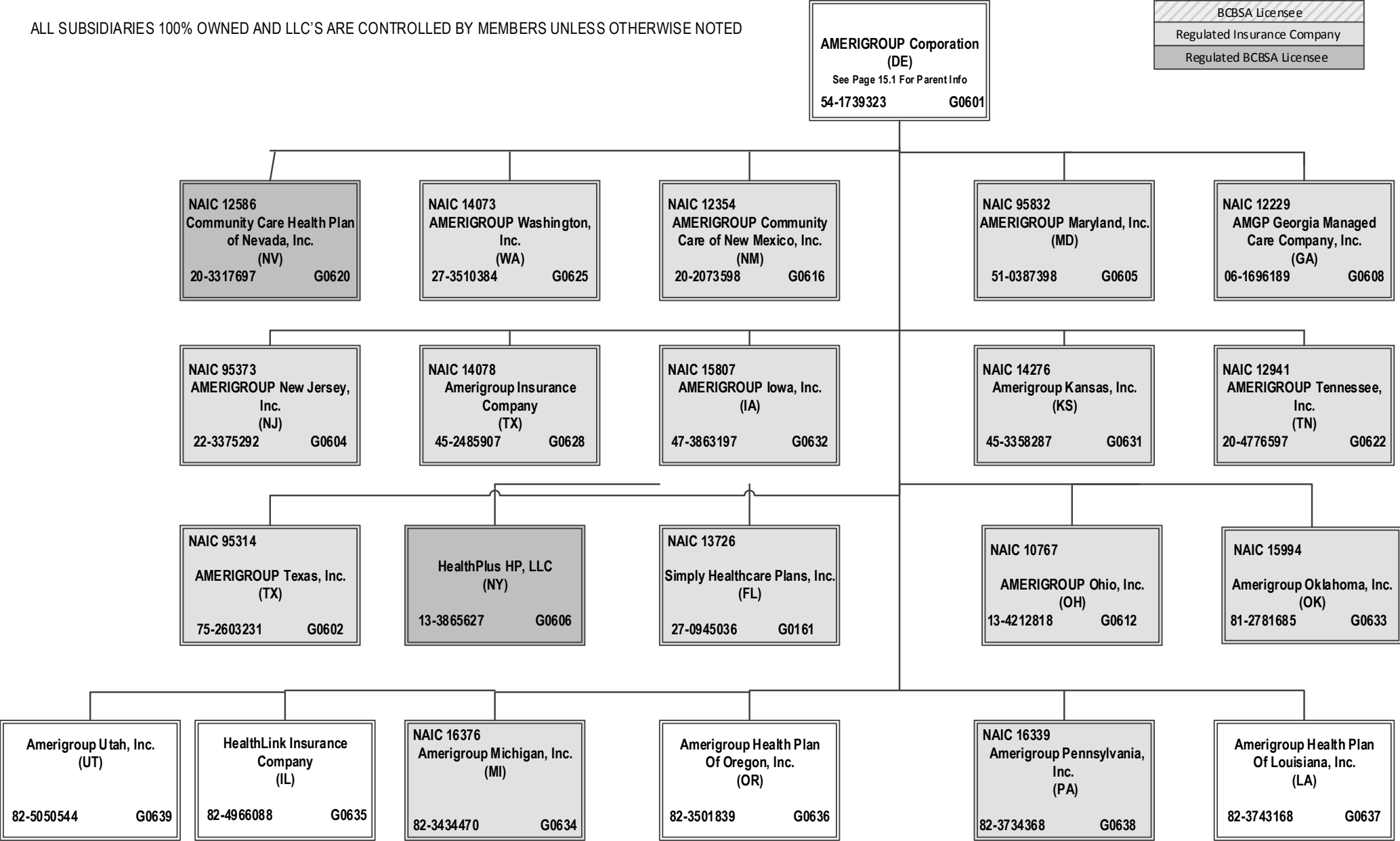
ALL SUBSIDIARIES 100% OWNED AND LLC’S ARE CONTROLLED BY MEMBERS UNLESS OTHERWISE NOTED

BCBSA Licensee
Regulated Insurance Company
Regulated BCBSA Licensee



SCHEDULE Y – INFORMATION CONCERNING ACTIVITIES OF INSURER MEMBERS OF A HOLDING COMPANY GROUP  
PART 1 – ORGANIZATIONAL CHART

ALL SUBSIDIARIES 100% OWNED AND LLC'S ARE CONTROLLED BY MEMBERS UNLESS OTHERWISE NOTED



SCHEDULE Y  
PART 1A - DETAIL OF INSURANCE HOLDING COMPANY SYSTEM

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16
Group Code	Group Name	NAIC Company Code	ID Number	Federal RSSD	CIK	Name of Securities Exchange if Publicly Traded (U.S. or International)	Names of Parent, Subsidiaries Or Affiliates	Domi-ciliary Location	Relation-ship to Reporting Entity	Directly Controlled by (Name of Entity/Person)	Type of Control (Ownership, Board, Management, Attorney-in-Fact, Influence, Other)	If Control is Ownership Provide Percen-tage	Ultimate Controlling Entity(ies)/Person(s)	Is an SCA Filing Re-quired? (Y/N)	*
.0671	Anthem, Inc.		36-3692630		0001156039		American Imaging Management, Inc. .... America's 1st Choice of South Carolina, Inc.	IL	NIA	Imaging Management Holdings, L.L.C. ....	Ownership.....	100.000	Anthem, Inc. ....	.N	
.0671	Anthem, Inc.	15544	46-4729682		0001156039			SC	IA	ATH Holding Company, LLC .....	Ownership.....	100.000	Anthem, Inc. ....	.N	
.0671	Anthem, Inc.		26-0772017		0001156039		America's Health Management Services, Inc. .... AMERIGROUP Community Care of New Mexico, Inc.	SC	NIA	ATH Holding Company, LLC .....	Ownership.....	100.000	Anthem, Inc. ....	.N	
.0671	Anthem, Inc.	12354	20-2073598		0001156039			NM	IA	AMERIGROUP Corporation .....	Ownership.....	100.000	Anthem, Inc. ....	.N	
.0671	Anthem, Inc.		54-1739323		0001156039		AMERIGROUP Corporation .....	DE	NIA	ATH Holding Company, LLC .....	Ownership.....	100.000	Anthem, Inc. ....	.N	
.0671	Anthem, Inc.		82-1800037		0001156039		AMERIGROUP Delaware, Inc. ....	DE	NIA	Anthem Partnership Holding Company, LLC .....	Ownership.....	100.000	Anthem, Inc. ....	.N	
.0671	Anthem, Inc.	16168	81-4131800		0001156039		Amerigroup District of Columbia, Inc. ....	DC	IA	Anthem Partnership Holding Company, LLC .....	Ownership.....	100.000	Anthem, Inc. ....	.N	
.0671	Anthem, Inc.		82-3743168		0001156039		Amerigroup Health Plan of Louisiana, Inc. ....	LA	NIA	AMERIGROUP Corporation .....	Ownership.....	100.000	Anthem, Inc. ....	.N	
.0671	Anthem, Inc.	16376	82-3434470		0001156039		Amerigroup Health Plan of Michigan, Inc. .... Amerigroup Health Plan of Pennsylvania, Inc.	MI	IA	AMERIGROUP Corporation .....	Ownership.....	100.000	Anthem, Inc. ....	.N	
.0671	Anthem, Inc.	16339	82-3734368		0001156039			PA	IA	AMERIGROUP Corporation .....	Ownership.....	100.000	Anthem, Inc. ....	.N	
.0671	Anthem, Inc.		82-3501839		0001156039		Amerigroup Health Plan of Oregon, Inc. ....	OR	NIA	AMERIGROUP Corporation .....	Ownership.....	100.000	Anthem, Inc. ....	.N	
.0671	Anthem, Inc.	14078	45-2485907		0001156039		Amerigroup Insurance Company .....	TX	IA	AMERIGROUP Corporation .....	Ownership.....	100.000	Anthem, Inc. ....	.N	
.0671	Anthem, Inc.	15807	47-3863197		0001156039		AMERIGROUP Iowa, Inc. ....	IA	IA	AMERIGROUP Corporation .....	Ownership.....	100.000	Anthem, Inc. ....	.N	
.0671	Anthem, Inc.		45-4985009		0001156039		Amerigroup IPA of New York, LLC .....	NY	NIA	CareMore, LLC .....	Ownership.....	100.000	Anthem, Inc. ....	.N	
.0671	Anthem, Inc.	14276	45-3358287		0001156039		Amerigroup Kansas, Inc. ....	KS	IA	AMERIGROUP Corporation .....	Ownership.....	100.000	Anthem, Inc. ....	.N	
.0671	Anthem, Inc.	95832	51-0387398		0001156039		AMERIGROUP Maryland, Inc. ....	MD	IA	AMERIGROUP Corporation .....	Ownership.....	100.000	Anthem, Inc. ....	.N	
.0671	Anthem, Inc.	16376	82-3434470		0001156039		Amerigroup Michigan, Inc. ....	MI	IA	AMERIGROUP Corporation .....	Ownership.....	100.000	Anthem, Inc. ....	.N	
.0671	Anthem, Inc.	16145	81-4626605		0001156039		Amerigroup Mississippi, Inc. ....	MS	IA	Anthem Partnership Holding Company, LLC .....	Ownership.....	100.000	Anthem, Inc. ....	.N	
.0671	Anthem, Inc.	95373	22-3375292		0001156039		AMERIGROUP New Jersey, Inc. ....	NJ	IA	AMERIGROUP Corporation .....	Ownership.....	100.000	Anthem, Inc. ....	.N	
.0671	Anthem, Inc.	10767	13-4212818		0001156039		AMERIGROUP Ohio, Inc. ....	OH	IA	AMERIGROUP Corporation .....	Ownership.....	100.000	Anthem, Inc. ....	.N	
.0671	Anthem, Inc.	15994	81-2781685		0001156039		AMERIGROUP Oklahoma, Inc. ....	OK	IA	AMERIGROUP Corporation .....	Ownership.....	100.000	Anthem, Inc. ....	.N	
.0671	Anthem, Inc.		36-3897080		0001156039		Amerigroup Partnership Plan, LLC .....	IL	NIA	Health Ventures Partner, L.L.C. ....	Ownership.....	75.000	Anthem, Inc. ....	.N	
.0671	Anthem, Inc.		36-3897080		0001156039		Amerigroup Partnership Plan, LLC .....	IL	NIA	UNICARE Illinois Services, Inc. ....	Ownership.....	25.000	Anthem, Inc. ....	.N	
.0671	Anthem, Inc.	16339	82-3734368		0001156039		Amerigroup Pennsylvania, Inc. ....	PA	IA	AMERIGROUP Corporation .....	Ownership.....	25.000	Anthem, Inc. ....	.N	
.0671	Anthem, Inc.	12941	20-4776597		0001156039		AMERIGROUP Tennessee, Inc. ....	TN	IA	AMERIGROUP Corporation .....	Ownership.....	100.000	Anthem, Inc. ....	.N	
.0671	Anthem, Inc.	95314	75-2603231		0001156039		AMERIGROUP Texas, Inc. ....	TX	IA	AMERIGROUP Corporation .....	Ownership.....	100.000	Anthem, Inc. ....	.N	
.0671	Anthem, Inc.	14073	27-3510384		0001156039		AMERIGROUP Washington, Inc. ....	WA	IA	AMERIGROUP Corporation .....	Ownership.....	100.000	Anthem, Inc. ....	.N	
.0671	Anthem, Inc.		82-5050544		0001156039		AMERIGROUP Utah, Inc. ....	UT	NIA	AMERIGROUP Corporation .....	Ownership.....	100.000	Anthem, Inc. ....	.N	
.0671	Anthem, Inc.	12229	06-1696189		0001156039		AMGP Georgia Managed Care Company, Inc. .... Anthem Blue Cross Life and Health Insurance Company	GA	IA	AMERIGROUP Corporation .....	Ownership.....	100.000	Anthem, Inc. ....	.N	
.0671	Anthem, Inc.	62825	95-4331852		0001156039			CA	IA	WellPoint California Services, Inc. ....	Ownership.....	100.000	Anthem, Inc. ....	.N	
.0671	Anthem, Inc.		35-1898945		0001156039		Anthem Financial, Inc. ....	DE	NIA	Associated Group, Inc. ....	Ownership.....	100.000	Anthem, Inc. ....	.N	
.0671	Anthem, Inc.	95120	61-1237516		0001156039		Anthem Health Plans of Kentucky, Inc. ....	KY	IA	ATH Holding Company, LLC .....	Ownership.....	100.000	Anthem, Inc. ....	.Y	.0108
.0671	Anthem, Inc.	52618	31-1705652		0001156039		Anthem Health Plans of Maine, Inc. ....	ME	IA	ATH Holding Company, LLC .....	Ownership.....	100.000	Anthem, Inc. ....	.N	
.0671	Anthem, Inc.	53759	02-0510530		0001156039		Anthem Health Plans of New Hampshire, Inc. ....	NH	IA	ATH Holding Company, LLC .....	Ownership.....	100.000	Anthem, Inc. ....	.N	
.0671	Anthem, Inc.	71835	54-0357120	40003317	0001156039		Anthem Health Plans of Virginia, Inc. ....	VA	IA	Anthem Southeast, Inc. ....	Ownership.....	100.000	Anthem, Inc. ....	.N	
.0671	Anthem, Inc.	60217	06-1475928		0001156039		Anthem Health Plans, Inc. ....	CT	IA	ATH Holding Company, LLC .....	Ownership.....	100.000	Anthem, Inc. ....	.N	
.0671	Anthem, Inc.		61-1459939		0001156039		Anthem Holding Corp.	IN	NIA	Anthem, Inc. ....	Ownership.....	100.000	Anthem, Inc. ....	.N	
.0671	Anthem, Inc.		35-2145715		0001156039	New York Stock Exchange (NYSE)	Anthem, Inc. ....	IN	UIP				Anthem, Inc. ....	.N	
.0671	Anthem, Inc.	28207	35-0781558		0001156039		Anthem Insurance Companies, Inc. ....	IN	IA	Anthem, Inc. ....	Ownership.....	100.000	Anthem, Inc. ....	.Y	.0108
.0671	Anthem, Inc.	15543	47-0992859		0001156039		Anthem Kentucky Managed Care Plan, Inc. ....	KY	IA	ATH Holding Company, LLC .....	Ownership.....	100.000	Anthem, Inc. ....	.N	
.0671	Anthem, Inc.	13573	20-5876774		0001156039		Anthem Life & Disability Insurance Company ..	NY	IA	WellPoint Acquisition, LLC .....	Ownership.....	100.000	Anthem, Inc. ....	.N	
.0671	Anthem, Inc.	61069	35-0980405		0001156039		Anthem Life Insurance Company .....	IN	IA	Service, Inc. ....	Ownership.....	100.000	Anthem, Inc. ....	.N	
.0671	Anthem, Inc.				0001156039		Anthem Merger Sub Corp. ....	DE	NIA	Anthem, Inc. ....	Ownership.....	100.000	Anthem, Inc. ....	.N	
.0671	Anthem, Inc.		81-3974489		0001156039		Anthem Partnership Holding Company, LLC .....	DE	NIA	Anthem, Inc. ....	Ownership.....	100.000	Anthem, Inc. ....	.N	
.0671	Anthem, Inc.		32-0031791		0001156039		Anthem Southeast, Inc. ....	IN	NIA	Anthem, Inc. ....	Ownership.....	100.000	Anthem, Inc. ....	.N	
.0671	Anthem, Inc.		35-2129194		0001156039		Anthem UM Services, Inc. ....	IN	NIA	UNICARE Specialty Services, Inc. .... Anthem Blue Cross Life and Health Insurance Company	Ownership.....	100.000	Anthem, Inc. ....	.N	
.0671	Anthem, Inc.		30-0606541		0001156039		Anthem Workers' Compensation, LLC .....	IN	NIA		Ownership.....	75.000	Anthem, Inc. ....	.N	

SCHEDULE Y  
PART 1A - DETAIL OF INSURANCE HOLDING COMPANY SYSTEM

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16
Group Code	Group Name	NAIC Company Code	ID Number	Federal RSSD	CIK	Name of Securities Exchange if Publicly Traded (U.S. or International)	Names of Parent, Subsidiaries Or Affiliates	Domi-ciliary Location	Relation-ship to Reporting Entity	Directly Controlled by (Name of Entity/Person)	Type of Control (Ownership, Board, Management, Attorney-in-Fact, Influence, Other)	If Control is Ownership Provide Percen-tage	Ultimate Controlling Entity(ies)/Person(s)	Is an SCA Filing Re-quired? (Y/N)	*
.0671	Anthem, Inc.		30-0606541		0001156039		Anthem Workers' Compensation, LLC	IN	NIA	HealthLink, Inc.	Ownership	25.000	Anthem, Inc.	N	
.0671	Anthem, Inc.		80-0531799		0001156039		Applied Pathways, LLC	IL	NIA	American Imaging Management, Inc./HEP AP	Ownership	100.000	Anthem, Inc.	N	.0107
.0671	Anthem, Inc.		95-4640529		0001156039		Arcus Enterprises, Inc.	DE	NIA	Holdings, Inc.	Ownership	100.000	Anthem, Inc.	N	
.0671	Anthem, Inc.		90-1057454		0001156039		Aspire Health, Inc.	DE	NIA	Anthem Holding Corp.	Ownership	100.000	Anthem, Inc.	N	
.0671	Anthem, Inc.		35-1292384		0001156039		Associated Group, Inc.	IN	NIA	Nash Holding Company, LLC	Ownership	100.000	Anthem, Inc.	N	
.0671	Anthem, Inc.		11-3713086		0001156039		ATH Holding Company, LLC	IN	NIA	Anthem Insurance Companies, Inc.	Ownership	100.000	Anthem, Inc.	N	
.0671	Anthem, Inc.	54801	58-0469845		0001156039		Blue Cross and Blue Shield of Georgia, Inc.	GA	IA	Anthem, Inc.	Ownership	100.000	Anthem, Inc.	N	
.0671	Anthem, Inc.	96962	58-1638390		0001156039		Blue Cross Blue Shield Healthcare Plan of Georgia, Inc.	GA	IA	Cerulean Companies, Inc.	Ownership	100.000	Anthem, Inc.	N	
.0671	Anthem, Inc.	54003	39-0138065		0001156039		Blue Cross Blue Shield of Wisconsin	WI	IA	Crossroads Acquisition Corp.	Ownership	100.000	Anthem, Inc.	Y	
.0671	Anthem, Inc.		95-3760980		0001156039		Blue Cross of California	CA	IA	WellPoint California Services, Inc.	Ownership	100.000	Anthem, Inc.	N	.0101
.0671	Anthem, Inc.		20-2994048		0001156039		Blue Cross of California Partnership Plan, Inc.	CA	IA	WellPoint California Services, Inc.	Ownership	100.000	Anthem, Inc.	N	.0102
.0671	Anthem, Inc.		95-4694706		0001156039		CareMore Health Plan	CA	IA	Blue Cross of California	Ownership	100.000	Anthem, Inc.	N	.0103
.0671	Anthem, Inc.	13562	38-3795280		0001156039		CareMore Health Plan of Arizona, Inc.	AZ	IA	CareMore Health System	Ownership	100.000	Anthem, Inc.	N	
.0671	Anthem, Inc.	13605	26-4001602		0001156039		CareMore Health Plan of Nevada	NV	IA	CareMore Health System	Ownership	100.000	Anthem, Inc.	N	
.0671	Anthem, Inc.		27-1625392		0001156039		CareMore Health Plan of Texas, Inc.	TX	NIA	CareMore Health System	Ownership	100.000	Anthem, Inc.	N	
.0671	Anthem, Inc.		32-0373216		0001156039		CareMore, LLC	IN	NIA	CareMore Health System	Ownership	100.000	Anthem, Inc.	N	
.0671	Anthem, Inc.		20-2076421		0001156039		CareMore Health System	CA	NIA	ATH Holding Company, LLC	Ownership	100.000	Anthem, Inc.	N	
.0671	Anthem, Inc.		46-0613946		0001156039		CareMore Services Company, LLC	IN	NIA	The Anthem Companies, Inc.	Ownership	100.000	Anthem, Inc.	N	
.0671	Anthem, Inc.		58-2217138		0001156039		Cerulean Companies, Inc.	GA	NIA	Anthem Holding Corp.	Ownership	100.000	Anthem, Inc.	N	
.0671	Anthem, Inc.		39-1413702		0001156039		Claim Management Services, Inc.	WI	NIA	Blue Cross Blue Shield of Wisconsin	Ownership	100.000	Anthem, Inc.	N	
.0671	Anthem, Inc.	16345	82-1853423		0001156039		COHA, LLC	CO	IA	Anthem Partnership Holding Company, LLC	Ownership	50.000	Anthem, Inc.	N	.0107
.0671	Anthem, Inc.	14064	26-4674149		0001156039		Community Care Health Plan of Louisiana, Inc.	LA	IA	Anthem Partnership Holding Company, LLC	Ownership	80.000	Anthem, Inc.	N	.0109
.0671	Anthem, Inc.	12586	20-3317697		0001156039		Community Care Health Plan of Nevada, Inc.	NV	IA	AMERIGROUP Corporation	Ownership	100.000	Anthem, Inc.	N	
.0671	Anthem, Inc.	10345	31-1440175		0001156039		Community Insurance Company	OH	IA	ATH Holding Company, LLC	Ownership	100.000	Anthem, Inc.	N	
.0671	Anthem, Inc.	95693	39-1462554		0001156039		Compcare Health Services Insurance Corporation	WI	IA	Blue Cross Blue Shield of Wisconsin	Ownership	100.000	Anthem, Inc.	N	
.0671	Anthem, Inc.		20-0334650		0001156039		Crossroads Acquisition Corp.	DE	NIA	Anthem Holding Corp.	Ownership	100.000	Anthem, Inc.	N	
.0671	Anthem, Inc.		41-1905556		0001156039		DeCare Analytics, LLC	MN	NIA	DeCare Dental, LLC	Ownership	100.000	Anthem, Inc.	N	
.0671	Anthem, Inc.		02-0574609		0001156039		DeCare Dental Health International, LLC	MN	NIA	DeCare Dental, LLC	Ownership	100.000	Anthem, Inc.	N	
.0671	Anthem, Inc.				0001156039		DeCare Dental Insurance Ireland, Ltd.	IRL	NIA	DeCare Dental, LLC	Ownership	100.000	Anthem, Inc.	N	
.0671	Anthem, Inc.		73-1665525		0001156039		DeCare Dental Networks, LLC	MN	NIA	DeCare Dental, LLC	Ownership	100.000	Anthem, Inc.	N	
.0671	Anthem, Inc.		01-0822645		0001156039		DeCare Dental, LLC	MN	NIA	Anthem Holding Corp.	Ownership	100.000	Anthem, Inc.	N	
.0671	Anthem, Inc.				0001156039		DeCare Operations Ireland, Limited	IRL	NIA	DeCare Dental, LLC	Ownership	100.000	Anthem, Inc.	N	
.0671	Anthem, Inc.		20-0660775		0001156039		Delivery Network, LLC	FL	NIA	HealthSun Holdings, LLC	Ownership	100.000	Anthem, Inc.	N	
.0671	Anthem, Inc.		26-2544715		0001156039		Designated Agent Company, Inc.	KY	NIA	Anthem Health Plans of Kentucky, Inc.	Ownership	100.000	Anthem, Inc.	N	
.0671	Anthem, Inc.		27-2844373		0001156039		EasyScripts Cutler Bay, LLC	FL	NIA	HealthSun Holdings, LLC	Ownership	100.000	Anthem, Inc.	N	
.0671	Anthem, Inc.		37-1668303		0001156039		EasyScripts Hialeah, LLC	FL	NIA	HealthSun Holdings, LLC	Ownership	100.000	Anthem, Inc.	N	
.0671	Anthem, Inc.		30-0478573		0001156039		EasyScripts LLC	FL	NIA	HealthSun Holdings, LLC	Ownership	100.000	Anthem, Inc.	N	
.0671	Anthem, Inc.		46-0613819		0001156039		EasyScripts Westchester, LLC	FL	NIA	HealthSun Holdings, LLC	Ownership	100.000	Anthem, Inc.	N	
.0671	Anthem, Inc.		13-3934328		0001156039		EHC Benefits Agency, Inc.	NY	NIA	WellPoint Holding Corp	Ownership	100.000	Anthem, Inc.	N	
.0671	Anthem, Inc.	55093	23-7391136		0001156039		Empire HealthChoice Assurance, Inc.	NY	LDP	WellPoint Holding Corp	Ownership	100.000	Anthem, Inc.	N	
.0671	Anthem, Inc.	95433	13-3874803		0001156039		Empire HealthChoice HMO, Inc.	NY	RE	Empire HealthChoice Assurance, Inc.	Ownership	100.000	Anthem, Inc.	N	
.0671	Anthem, Inc.		26-4286154		0001156039		Federal Government Solutions, LLC	WI	NIA	ATH Holding Company, LLC	Ownership	100.000	Anthem, Inc.	N	
.0671	Anthem, Inc.	10119	41-2128275		0001156039		Freedom Health, Inc.	FL	IA	ATH Holding Company, LLC	Ownership	100.000	Anthem, Inc.	N	
.0671	Anthem, Inc.		20-1378912		0001156039		Global TPA, LLC	FL	NIA	ATH Holding Company, LLC	Ownership	100.000	Anthem, Inc.	N	
.0671	Anthem, Inc.		95-2907752		0001156039		Golden West Health Plan, Inc.	CA	IA	WellPoint California Services, Inc.	Ownership	100.000	Anthem, Inc.	N	.0104
.0671	Anthem, Inc.	97217	58-1473042		0001156039		Greater Georgia Life Insurance Company	GA	IA	Blue Cross and Blue Shield of Georgia, Inc.	Ownership	100.000	Anthem, Inc.	N	
.0671	Anthem, Inc.		51-0365660		0001156039		Health Core, Inc.	DE	NIA	Arcus Enterprises, Inc.	Ownership	100.000	Anthem, Inc.	N	
.0671	Anthem, Inc.		54-1237939		0001156039		Health Management Corporation	VA	NIA	Southeast Services, Inc.	Ownership	100.000	Anthem, Inc.	N	

**SCHEDULE Y**  
**PART 1A - DETAIL OF INSURANCE HOLDING COMPANY SYSTEM**

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16
Group Code	Group Name	NAIC Company Code	ID Number	Federal RSSD	CIK	Name of Securities Exchange if Publicly Traded (U.S. or International)	Names of Parent, Subsidiaries Or Affiliates	Domi-ciliary Location	Relation-ship to Reporting Entity	Directly Controlled by (Name of Entity/Person)	Type of Control (Ownership, Board, Management, Attorney-in-Fact, Influence, Other)	If Control is Ownership Provide Percentage	Ultimate Controlling Entity(ies)/Person(s)	Is an SCA Filing Re-quired? (Y/N)	*
.0671	Anthem, Inc.		36-3897701		0001156039		Health Ventures Partner, L.L.C.	IL	NIA	UNICARE National Services, Inc.	Ownership	100.000	Anthem, Inc.	.N	
.0671	Anthem, Inc.	95169	54-1356687		0001156039		HealthKeepers, Inc.	VA	IA	Anthem Southeast, Inc.	Ownership	92.510	Anthem, Inc.	.N	
.0671	Anthem, Inc.	95169	54-1356687		0001156039		HealthKeepers, Inc.	VA	IA	UNICARE National Services, Inc.	Ownership	7.490	Anthem, Inc.	.N	
.0671	Anthem, Inc.	96475	43-1616135		0001156039		HealthLink HMO, Inc.	MO	IA	HealthLink, Inc.	Ownership	100.000	Anthem, Inc.	.N	
.0671	Anthem, Inc.		43-1364135		0001156039		HealthLink, Inc.	IL	NIA	RightCHOICE Managed Care, Inc.	Ownership	100.000	Anthem, Inc.	.N	
.0671	Anthem, Inc.		82-4966088		0001156039		HealthLink Insurance Company	IL	NIA	AMERIGROUP Corporation	Ownership	100.000	Anthem, Inc.	.N	
.0671	Anthem, Inc.		13-3865627		0001156039		HealthPlus HP, LLC	NY	IA	AMERIGROUP Corporation	Ownership	100.000	Anthem, Inc.	.N	.0100
.0671	Anthem, Inc.		81-4507070		0001156039		HealthSun Blocker Corp. I	DE	NIA	ATH Holding Company, LLC	Ownership	100.000	Anthem, Inc.	.N	
.0671	Anthem, Inc.		81-4496643		0001156039		HealthSun Blocker Corp. II	DE	NIA	ATH Holding Company, LLC	Ownership	100.000	Anthem, Inc.	.N	
.0671	Anthem, Inc.	10122	20-0982649		0001156039		HealthSun Health Plans, Inc.	FL	IA	Highland Acquisition Holdings, LLC	Ownership	100.000	Anthem, Inc.	.N	
.0671	Anthem, Inc.		20-0660271		0001156039		HealthSun Holdings, LLC	FL	NIA	HealthSun Management, LLC	Ownership	100.000	Anthem, Inc.	.N	
.0671	Anthem, Inc.		20-0660168		0001156039		HealthSun Management, LLC	FL	NIA	Highland Acquisition Holdings, LLC	Ownership	100.000	Anthem, Inc.	.N	
.0671	Anthem, Inc.		46-5250294		0001156039		HealthSun Physicians Network, LLC	FL	NIA	Delivery Network, LLC	Ownership	100.000	Anthem, Inc.	.N	
.0671	Anthem, Inc.		46-3434016		0001156039		HealthSun Physicians Network I, LLC	FL	NIA	HealthSun Physicians Network, LLC	Ownership	100.000	Anthem, Inc.	.N	
.0671	Anthem, Inc.	78972	86-0257201		0001156039		Healthy Alliance Life Insurance Company	MO	IA	RightCHOICE Managed Care, Inc.	Ownership	100.000	Anthem, Inc.	.N	
.0671	Anthem, Inc.		47-3953545		0001156039		HEP AP Holdings, Inc.	DE	NIA	Imaging Management Holdings, L.L.C.	Ownership	100.000	Anthem, Inc.	.N	
.0671	Anthem, Inc.		81-3867547		0001156039		Highland Holdco, Inc.	DE	NIA	ATH Holding Company, LLC	Ownership	100.000	Anthem, Inc.	.N	
.0671	Anthem, Inc.		81-3487249		0001156039		Highland Acquisition Holdings, LLC	DE	NIA	Highland Intermediate Holdings, LLC	Ownership	100.000	Anthem, Inc.	.N	
.0671	Anthem, Inc.		81-3471305		0001156039		Highland Intermediate Holdings, LLC	DE	NIA	Highland Investor Holdings, LLC	Ownership	100.000	Anthem, Inc.	.N	
.0671	Anthem, Inc.		81-3493196		0001156039		Highland Investor Holdings, LLC	DE	NIA	ATH Holding Company, LLC	Ownership	100.000	Anthem, Inc.	.N	
.0671	Anthem, Inc.	95473	84-1017384		0001156039		HMO Colorado, Inc.	CO	IA	Service, Inc.	Ownership	100.000	Anthem, Inc.	.Y	.0108
.0671	Anthem, Inc.	95358	37-1216698		0001156039		HMO Missouri, Inc.	MO	IA	RightCHOICE Managed Care, Inc.	Ownership	100.000	Anthem, Inc.	.N	
.0671	Anthem, Inc.				0001156039		Human Resource Associates, LLC	FL	NIA	HealthSun Holdings, LLC	Ownership	100.000	Anthem, Inc.	.N	
.0671	Anthem, Inc.		75-2619605		0001156039		Imaging Management Holdings, L.L.C.	DE	NIA	ATH Holding Company, LLC	Ownership	100.000	Anthem, Inc.	.N	
.0671	Anthem, Inc.		82-3062245		0001156039		IngenioRX, Inc.	IN	NIA	Newco Holdings, Inc.	Ownership	100.000	Anthem, Inc.	.N	
.0671	Anthem, Inc.		98-1397080		0001156039		Legato Health Technologies LLC	IN	NIA	Legato Holdings I, Inc.	Ownership	100.000	Anthem, Inc.	.N	.0110
.0671	Anthem, Inc.		82-3030791		0001156039		Legato Holdings I, Inc.	IN	NIA	Anthem, Inc.	Ownership	100.000	Anthem, Inc.	.N	
.0671	Anthem, Inc.		82-3031178		0001156039		Legato Holdings II, Inc.	IN	NIA	Legato Holdings I, Inc.	Ownership	100.000	Anthem, Inc.	.N	
.0671	Anthem, Inc.		02-0581429		0001156039		Living Complete Technologies, Inc.	MD	NIA	ATH Holding Company, LLC	Ownership	100.000	Anthem, Inc.	.N	
.0671	Anthem, Inc.	95527	02-0494919		0001156039		Matthew Thornton Health Plan, Inc.	NH	IA	Anthem Health Plans of New Hampshire, Inc.	Ownership	100.000	Anthem, Inc.	.N	
.0671	Anthem, Inc.				0001156039		Medical Mall of Florida, LLC	FL	NIA	HealthSun Holdings, LLC	Ownership	100.000	Anthem, Inc.	.N	
.0671	Anthem, Inc.		46-5262131		0001156039		Memphis Supportive Care Partnership, LLC	TN	NIA	Nash Holding Company, LLC	Ownership	100.000	Anthem, Inc.	.N	
.0671	Anthem, Inc.									Compcare Health Services Insurance Corporation	Ownership	100.000	Anthem, Inc.	.N	
.0671	Anthem, Inc.		39-2013971		0001156039		Meridian Resource Company, LLC	WI	NIA		Ownership	100.000	Anthem, Inc.	.N	
.0671	Anthem, Inc.		83-0892028		0001156039		Nash Holding Company, LLC	DE	NIA	ATH Holding Company, LLC	Ownership	100.000	Anthem, Inc.	.N	.0111
.0671	Anthem, Inc.		35-1840597		0001156039		National Government Services, Inc.	IN	NIA	Federal Government Solutions, LLC	Ownership	100.000	Anthem, Inc.	.N	
.0671	Anthem, Inc.		46-1595582		0001156039		National Telehealth Network, LLC	DE	NIA	Sellcore, Inc.	Ownership	50.000	Anthem, Inc.	.N	.0105
.0671	Anthem, Inc.		04-2919509		0001156039		New England Research Institute, Inc.	MA	NIA	Health Core, Inc.	Ownership	100.000	Anthem, Inc.	.N	
.0671	Anthem, Inc.		82-3027094		0001156039		Newco Holdings, Inc.	IN	NIA	Anthem, Inc.	Ownership	100.000	Anthem, Inc.	.N	
.0671	Anthem, Inc.		81-5476630		0001156039		NGS Federal, LLC	IN	NIA	Federal Government Solutions, LLC	Ownership	100.000	Anthem, Inc.	.N	
.0671	Anthem, Inc.	12259	20-1336412		0001156039		Optimum Healthcare, Inc.	FL	IA	ATH Holding Company, LLC	Ownership	100.000	Anthem, Inc.	.N	
.0671	Anthem, Inc.		95-4249368		0001156039		Park Square Holdings, Inc.	CA	NIA	WellPoint California Services, Inc.	Ownership	100.000	Anthem, Inc.	.N	
.0671	Anthem, Inc.		95-4386221		0001156039		Park Square I, Inc.	CA	NIA	WellPoint California Services, Inc.	Ownership	100.000	Anthem, Inc.	.N	
.0671	Anthem, Inc.		95-4249345		0001156039		Park Square II, Inc.	CA	NIA	WellPoint California Services, Inc.	Ownership	100.000	Anthem, Inc.	.N	
.0671	Anthem, Inc.		27-1991772		0001156039		Pasteur Medical Birds Road, LLC	FL	NIA	Pasteur Medical Holdings, LLC	Ownership	100.000	Anthem, Inc.	.N	
.0671	Anthem, Inc.		20-2749389		0001156039		Pasteur Medical Center, LLC	DE	NIA	HealthSun Holdings, LLC	Ownership	100.000	Anthem, Inc.	.N	
.0671	Anthem, Inc.		27-1366915		0001156039		Pasteur Medical Cutler Bay, LLC	FL	NIA	Pasteur Medical Holdings, LLC	Ownership	100.000	Anthem, Inc.	.N	
.0671	Anthem, Inc.		20-0610128		0001156039		Pasteur Medical Group, LLC	FL	NIA	Pasteur Medical Holdings, LLC	Ownership	100.000	Anthem, Inc.	.N	
.0671	Anthem, Inc.		37-1668303		0001156039		Pasteur Medical Hialeah Gardens, LLC	FL	NIA	Pasteur Medical Holdings, LLC	Ownership	100.000	Anthem, Inc.	.N	
.0671	Anthem, Inc.		45-1616220		0001156039		Pasteur Medical Holdings, LLC	FL	NIA	HealthSun Holdings, LLC	Ownership	100.000	Anthem, Inc.	.N	
.0671	Anthem, Inc.		47-3464152		0001156039		Pasteur Medical Kendall, LLC	FL	NIA	Pasteur Medical Holdings, LLC	Ownership	100.000	Anthem, Inc.	.N	
.0671	Anthem, Inc.		27-2810478		0001156039		Pasteur Medical Management, LLC	FL	NIA	Pasteur Medical Holdings, LLC	Ownership	100.000	Anthem, Inc.	.N	

SCHEDULE Y  
PART 1A - DETAIL OF INSURANCE HOLDING COMPANY SYSTEM

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16
Group Code	Group Name	NAIC Company Code	ID Number	Federal RSSD	CIK	Name of Securities Exchange if Publicly Traded (U.S. or International)	Names of Parent, Subsidiaries Or Affiliates	Domi-ciliary Location	Relation-ship to Reporting Entity	Directly Controlled by (Name of Entity/Person)	Type of Control (Ownership, Board, Management, Attorney-in-Fact, Influence, Other)	If Control is Owner-ship Provide Percen-tage	Ultimate Controlling Entity(ies)/Person(s)	Is an SCA Filing Re-quired? (Y/N)	*
.0671	Anthem, Inc.		33-1217936		0001156039		Pasteur Medical Miami Gardens, LLC	FL	NIA	Pasteur Medical Holdings, LLC	Ownership	100.000	Anthem, Inc.	N	
.0671	Anthem, Inc.		27-2651017		0001156039		Pasteur Medical North Miami Beach, LLC	FL	NIA	Pasteur Medical Holdings, LLC	Ownership	100.000	Anthem, Inc.	N	
.0671	Anthem, Inc.		26-0813665		0001156039		Pasteur Medical Partners, LLC	FL	NIA	HealthSun Holdings, LLC	Ownership	100.000	Anthem, Inc.	N	
.0671	Anthem, Inc.		27-2844265		0001156039		Pasteur Pharmacy II, LLC	FL	NIA	HealthSun Holdings, LLC	Ownership	100.000	Anthem, Inc.	N	
.0671	Anthem, Inc.		45-4493353		0001156039		Pasteur Pharmacy IV, LLC	FL	NIA	HealthSun Holdings, LLC	Ownership	100.000	Anthem, Inc.	N	
.0671	Anthem, Inc.		56-2396739		0001156039		Resolution Health, Inc.	DE	NIA	Anthem Southeast, Inc.	Ownership	100.000	Anthem, Inc.	N	
.0671	Anthem, Inc.		47-0851593		0001156039		RightCHOICE Managed Care, Inc.	DE	NIA	Anthem Holding Corp.	Ownership	100.000	Anthem, Inc.	N	
.0671	Anthem, Inc.	11011	84-0747736		0001156039		Rocky Mountain Hospital and Medical Service, Inc.	CO	IA	ATH Holding Company, LLC	Ownership	100.000	Anthem, Inc.	N	
.0671	Anthem, Inc.		20-0473316		0001156039		SellCore, Inc.	DE	NIA	Anthem, Inc.	Ownership	100.000	Anthem, Inc.	N	
.0671	Anthem, Inc.	13726	27-0945036		0001156039		Simply Healthcare Plans, Inc.	FL	IA	AMERIGROUP Corporation	Ownership	100.000	Anthem, Inc.	N	
.0671	Anthem, Inc.		55-0712302		0001156039		Southeast Services, Inc.	VA	NIA	Anthem Southeast, Inc.	Ownership	100.000	Anthem, Inc.	N	
.0671	Anthem, Inc.		45-4071004		0001156039		State Sponsored DM Services, Inc.	IN	NIA	UNICARE Specialty Services, Inc.	Ownership	100.000	Anthem, Inc.	N	
.0671	Anthem, Inc.		35-1835818		0001156039		The Anthem Companies, Inc.	IN	NIA	ATH Holding Company, LLC	Ownership	100.000	Anthem, Inc.	N	
.0671	Anthem, Inc.		45-5443372		0001156039		The Anthem Companies of California, Inc.	CA	NIA	ATH Holding Company, LLC	Ownership	100.000	Anthem, Inc.	N	
.0671	Anthem, Inc.				0001156039		The Medical City, LLC	FL	NIA	HealthSun Holdings, LLC	Ownership	100.000	Anthem, Inc.	N	
.0671	Anthem, Inc.		43-1967924		0001156039		TrustSolutions, LLC	WI	NIA	Federal Government Solutions, LLC	Ownership	100.000	Anthem, Inc.	N	
.0671	Anthem, Inc.	11810	84-1620480		0001156039		UNICARE Health Plan of West Virginia, Inc.	WV	IA	UNICARE National Services, Inc.	Ownership	100.000	Anthem, Inc.	N	
.0671	Anthem, Inc.		36-3899137		0001156039		UNICARE Illinois Services, Inc.	IL	NIA	UNICARE National Services, Inc.	Ownership	100.000	Anthem, Inc.	N	
.0671	Anthem, Inc.	80314	52-0913817		0001156039		UNICARE Life & Health Insurance Company	IN	IA	UNICARE National Services, Inc.	Ownership	100.000	Anthem, Inc.	N	
.0671	Anthem, Inc.		95-4635507		0001156039		UNICARE National Services, Inc.	DE	NIA	Anthem Holding Corp.	Ownership	100.000	Anthem, Inc.	N	
.0671	Anthem, Inc.		82-3300542		0001156039		UNICARE Specialty Services, Inc.	DE	NIA	Anthem Holding Corp.	Ownership	100.000	Anthem, Inc.	N	
.0671	Anthem, Inc.		20-0660563		0001156039		Valus, Inc.	IN	NIA	IngenioRX, Inc.	Ownership	100.000	Anthem, Inc.	N	
.0671	Anthem, Inc.		20-0660644		0001156039		WellMax Health Medical Centers, LLC	FL	NIA	Delivery Network, LLC	Ownership	100.000	Anthem, Inc.	N	
.0671	Anthem, Inc.		36-4014617		0001156039		WellMax Health Physicians Network, LLC	FL	NIA	Delivery Network, LLC	Ownership	100.000	Anthem, Inc.	N	
.0671	Anthem, Inc.		20-4405193		0001156039		WellPoint Acquisition, LLC	IN	NIA	Anthem, Inc.	Ownership	100.000	Anthem, Inc.	N	
.0671	Anthem, Inc.		20-2156380		0001156039		WellPoint Behavioral Health, Inc.	DE	NIA	UNICARE Specialty Services, Inc.	Ownership	100.000	Anthem, Inc.	N	
.0671	Anthem, Inc.		95-4640531		0001156039		WellPoint California Services, Inc.	DE	NIA	Anthem Holding Corp.	Ownership	100.000	Anthem, Inc.	N	
.0671	Anthem, Inc.		95-4657170		0001156039		WellPoint Dental Services, Inc.	DE	NIA	UNICARE Specialty Services, Inc.	Ownership	100.000	Anthem, Inc.	N	
.0671	Anthem, Inc.		81-2874917		0001156039		WellPoint Health Solutions, Inc.	DE	NIA	Federal Government Solutions, LLC	Ownership	100.000	Anthem, Inc.	N	
.0671	Anthem, Inc.		20-3620996		0001156039		WellPoint Holding Corp	DE	UIP	Anthem, Inc.	Ownership	100.000	Anthem, Inc.	N	
.0671	Anthem, Inc.						WellPoint Information Technology Services, Inc.	CA	NIA	Blue Cross of California	Ownership	100.000	Anthem, Inc.	N	
.0671	Anthem, Inc.		45-2736438		0001156039		WellPoint Insurance Services, Inc.	HI	NIA	Anthem, Inc.	Ownership	100.000	Anthem, Inc.	N	
.0671	Anthem, Inc.		47-2546820		0001156039		WellPoint Military Care Corporation	IN	NIA	Federal Government Solutions, LLC	Ownership	100.000	Anthem, Inc.	N	
.0671	Anthem, Inc.	15929	47-5569628		0001156039		Wisconsin Collaborative Insurance Company	WI	IA	Crossroads Acquisition Corp.	Ownership	50.000	Anthem, Inc.	N	0107
.0671	Anthem, Inc.		98-0552141		0001156039		WPMI (Shanghai) Enterprise Service Co. Ltd.	CHN	NIA	WPMI, LLC	Ownership	100.000	Anthem, Inc.	N	
.0671	Anthem, Inc.		20-8672847		0001156039		WPMI, LLC	DE	NIA	ATH Holding Company, LLC	Ownership	69.910	Anthem, Inc.	N	0106

Asterisk	Explanation
0100	Insurer is deemed to be an insurance affiliate in column 10, but does not have an NAIC Company Code in column 3 because it is regulated by the New York State Department of Health.
0101	Insurer is deemed to be an insurance affiliate in column 10, but does not have an NAIC Company Code in column 3 because it is regulated by the California Department of Managed Health Care.
0102	Insurer is deemed to be an insurance affiliate in column 10, but does not have an NAIC Company Code in column 3 because it is regulated by the California Department of Managed Health Care.
0103	Insurer is deemed to be an insurance affiliate in column 10, but does not have an NAIC Company Code in column 3 because it is regulated by the California Department of Managed Health Care.
0104	Insurer is deemed to be an insurance affiliate in column 10, but does not have an NAIC Company Code in column 3 because it is regulated by the California Department of Managed Health Care.
0105	50% owned by unaffiliated investors
0106	30.09% owned by unaffiliated investors
0107	50% owned by an unaffiliated investor
0108	Received exemption from domestic regulator
0109	20% owned by an unaffiliated investor

STATEMENT AS OF SEPTEMBER 30, 2018 OF THE Empire HealthChoice HMO, Inc.

Asterisk	Explanation
0110 .....	Legato Health Technologies LLP is a Limited Liability Partnership formed under the laws of India, and is 99% owned by Legato Holdings I, Inc. an Indiana corporation, and 1% owned by Legato Holdings II, LLC, an Indiana Limited Liability company. ....
0111 .....	ATH Holding Company, LLC holds an 89.67% ownership interest with certain former holders of Aspire Health, Inc. collectively holding the remainder of the shares .....

SUPPLEMENTAL EXHIBITS AND SCHEDULES INTERROGATORIES

The following supplemental reports are required to be filed as part of your statement filing. However, in the event that your company does not transact the type of business for which the special report must be filed, your response of NO to the specific interrogatory will be accepted in lieu of filing a "NONE" report and a bar code will be printed below. If the supplement is required of your company but is not being filed for whatever reason enter SEE EXPLANATION and provide an explanation following the interrogatory questions.

Response

1. Will the Medicare Part D Coverage Supplement be filed with the state of domicile and the NAIC with this statement? .....

NO

Explanation:

1.

Bar Code:

1. Medicare Part D Coverage Supplement [Document Identifier 365]





OVERFLOW PAGE FOR WRITE-INS

Additional Write-ins for Assets Line 25

		Current Statement Date			4 Prior Year Net Admitted Assets
		1 Assets	2 Nonadmitted Assets	3 Net Admitted Assets (Cols. 1 - 2)	
2504.	Premium Tax Recoverable .....	3,638,293	0	3,638,293	369,976
2505.	Prepaid Expenses .....	2,319,467	1,529,986	789,481	771,872
2506.	Medicare Receivables .....	655,638	0	655,638	1,413,548
2507.	Blue Card Receivables .....	178,846	171,307	7,539	6,131
2508.	Miscellaneous Receivables .....	288	288	0	0
2597.	Summary of remaining write-ins for Line 25 from overflow page	6,792,532	1,701,581	5,090,951	2,561,527

Additional Write-ins for Liabilities Line 23

		Current Period			Prior Year
		1 Covered	2 Uncovered	3 Total	4 Total
2304.	Accounts Payable - Miscellaneous .....	751,424		751,424	271,618
2305.	Out of Area Program Payable .....	237,807		237,807	306,026
2306.	Cost sharing reduction liability .....	0		0	81,680
2397.	Summary of remaining write-ins for Line 23 from overflow page	989,231	0	989,231	659,324

SCHEDULE A - VERIFICATION

Real Estate

	1	2
	Year to Date	Prior Year Ended December 31
1. Book/adjusted carrying value, December 31 of prior year .....		
2. Cost of acquired:		
2.1 Actual cost at time of acquisition .....		
2.2 Additional investment made after acquisition .....		
3. Current year change in encumbrances .....		
4. Total gain (loss) on disposals .....		
5. Deduct amounts received on disposals .....		
6. Total foreign exchange change in book/adjusted carrying value .....		
7. Deduct current year's other than temporary impairment recognized .....		
8. Deduct current year's depreciation .....		
9. Book/adjusted carrying value at the end of current period (Lines 1+2+3+4-5+6-7-8) .....		
10. Deduct total nonadmitted amounts .....		
11. Statement value at end of current period (Line 9 minus Line 10)		

SCHEDULE B - VERIFICATION

Mortgage Loans

	1	2
	Year to Date	Prior Year Ended December 31
1. Book value/recorded investment excluding accrued interest, December 31 of prior year .....		
2. Cost of acquired:		
2.1 Actual cost at time of acquisition .....		
2.2 Additional investment made after acquisition .....		
3. Capitalized deferred interest and other .....		
4. Accrual of discount .....		
5. Unrealized valuation increase (decrease) .....		
6. Total gain (loss) on disposals .....		
7. Deduct amounts received on disposals .....		
8. Deduct amortization of premium and mortgage interest paid and commitment fees .....		
9. Total foreign exchange change in book value/recorded investment excluding accrued interest .....		
10. Deduct current year's other than temporary impairment recognized .....		
11. Book value/recorded investment excluding accrued interest at end of current period (Lines 1+2+3+4+5+6-7-8+9-10) .....		
12. Total valuation allowance .....		
13. Subtotal (Line 11 plus Line 12) .....		
14. Deduct total nonadmitted amounts .....		
15. Statement value at end of current period (Line 13 minus Line 14)		

SCHEDULE BA - VERIFICATION

Other Long-Term Invested Assets

	1	2
	Year to Date	Prior Year Ended December 31
1. Book/adjusted carrying value, December 31 of prior year .....		
2. Cost of acquired:		
2.1 Actual cost at time of acquisition .....		
2.2 Additional investment made after acquisition .....		
3. Capitalized deferred interest and other .....		
4. Accrual of discount .....		
5. Unrealized valuation increase (decrease) .....		
6. Total gain (loss) on disposals .....		
7. Deduct amounts received on disposals .....		
8. Deduct amortization of premium and depreciation .....		
9. Total foreign exchange change in book/adjusted carrying value .....		
10. Deduct current year's other than temporary impairment recognized .....		
11. Book/adjusted carrying value at end of current period (Lines 1+2+3+4+5+6-7-8+9-10) .....		
12. Deduct total nonadmitted amounts .....		
13. Statement value at end of current period (Line 11 minus Line 12)		

SCHEDULE D - VERIFICATION

Bonds and Stocks

	1	2
	Year to Date	Prior Year Ended December 31
1. Book/adjusted carrying value of bonds and stocks, December 31 of prior year .....	364,393,290	408,710,903
2. Cost of bonds and stocks acquired .....	85,412,968	109,054,150
3. Accrual of discount .....	281,154	242,544
4. Unrealized valuation increase (decrease) .....	100,050	(32,049)
5. Total gain (loss) on disposals .....	(576,599)	1,227,030
6. Deduct consideration for bonds and stocks disposed of .....	119,033,048	150,720,653
7. Deduct amortization of premium .....	2,420,470	4,088,635
8. Total foreign exchange change in book/adjusted carrying value .....		
9. Deduct current year's other than temporary impairment recognized .....		
10. Total investment income recognized as a result of prepayment penalties and/or acceleration fees .....		
11. Book/adjusted carrying value at end of current period (Lines 1+2+3+4+5-6-7+8-9+10) .....	328,157,345	364,393,290
12. Deduct total nonadmitted amounts .....		
13. Statement value at end of current period (Line 11 minus Line 12)	328,157,345	364,393,290

SCHEDULE D - PART 1B

Showing the Acquisitions, Dispositions and Non-Trading Activity  
During the Current Quarter for all Bonds and Preferred Stock by NAIC Designation

NAIC Designation	1 Book/Adjusted Carrying Value Beginning of Current Quarter	2 Acquisitions During Current Quarter	3 Dispositions During Current Quarter	4 Non-Trading Activity During Current Quarter	5 Book/Adjusted Carrying Value End of First Quarter	6 Book/Adjusted Carrying Value End of Second Quarter	7 Book/Adjusted Carrying Value End of Third Quarter	8 Book/Adjusted Carrying Value December 31 Prior Year
BONDS								
1. NAIC 1 (a) .....	244,625,392	23,369,416	20,552,685	(1,047,984)	259,935,635	244,625,392	246,394,139	266,413,722
2. NAIC 2 (a) .....	77,500,003	4,544,539	2,793,102	371,704	105,216,594	77,500,003	79,623,144	95,887,561
3. NAIC 3 (a) .....	720,914	0	0	(7,280)	723,670	720,914	713,634	819,757
4. NAIC 4 (a) .....	754,609	0	22,101	(1,990)	793,311	754,609	730,518	
5. NAIC 5 (a) .....	1,400,742	0	0	(742)	1,358,000	1,400,742	1,400,000	1,272,250
6. NAIC 6 (a) .....	0				0	0	0	
7. Total Bonds	325,001,660	27,913,955	23,367,888	(686,292)	368,027,210	325,001,660	328,861,435	364,393,290
PREFERRED STOCK								
8. NAIC 1 .....	0				0	0	0	0
9. NAIC 2 .....	0				0	0	0	0
10. NAIC 3 .....	0				0	0	0	0
11. NAIC 4 .....	0				0	0	0	0
12. NAIC 5 .....	0				0	0	0	0
13. NAIC 6 .....	0				0	0	0	0
14. Total Preferred Stock .....	0	0	0	0	0	0	0	0
15. Total Bonds and Preferred Stock	325,001,660	27,913,955	23,367,888	(686,292)	368,027,210	325,001,660	328,861,435	364,393,290

(a) Book/Adjusted Carrying Value column for the end of the current reporting period includes the following amount of short-term and cash equivalent bonds by NAIC designation:  
NAIC 1 \$ .....704,090 ; NAIC 2 \$ .....0 ; NAIC 3 \$ .....0 NAIC 4 \$ .....0 ; NAIC 5 \$ .....0 ; NAIC 6 \$ .....0

SCHEDULE DA - PART 1

Short-Term Investments

	1	2	3	4	5
	Book/Adjusted Carrying Value	Par Value	Actual Cost	Interest Collected Year-to-Date	Paid for Accrued Interest Year-to-Date
9199999 Totals	704,090	xxx	705,082	0	0

SCHEDULE DA - VERIFICATION

Short-Term Investments

	1	2
	Year To Date	Prior Year Ended December 31
1. Book/adjusted carrying value, December 31 of prior year .....	0	3,317,389
2. Cost of short-term investments acquired .....	705,082	307,921,659
3. Accrual of discount .....		
4. Unrealized valuation increase (decrease) .....		
5. Total gain (loss) on disposals .....		(899)
6. Deduct consideration received on disposals .....		311,238,149
7. Deduct amortization of premium .....	992	
8. Total foreign exchange change in book/adjusted carrying value .....		
9. Deduct current year's other than temporary impairment recognized .....		
10. Book/adjusted carrying value at end of current period (Lines 1+2+3+4+5-6-7+8-9) .....	704,090	0
11. Deduct total nonadmitted amounts .....		
12. Statement value at end of current period (Line 10 minus Line 11)	704,090	0

Schedule DB - Part A - Verification - Options, Caps, Floors, Collars, Swaps and Forwards

**N O N E**

Schedule DB - Part B - Verification - Futures Contracts

**N O N E**

Schedule DB - Part C - Section 1 - Replication (Synthetic Asset) Transactions (RSATs) Open

**N O N E**

Schedule DB-Part C-Section 2-Reconciliation of Replication (Synthetic Asset) Transactions Open

**N O N E**

Schedule DB - Verification - Book/Adjusted Carrying Value, Fair Value and Potential Exposure of  
Derivatives

**N O N E**

SCHEDULE E - PART 2 - VERIFICATION

(Cash Equivalents)

	1	2
	Year To Date	Prior Year Ended December 31
1. Book/adjusted carrying value, December 31 of prior year .....	3,543,948	
2. Cost of cash equivalents acquired .....	15,646,238	18,396,818
3. Accrual of discount .....	8,428	
4. Unrealized valuation increase (decrease) .....		
5. Total gain (loss) on disposals .....	(22)	
6. Deduct consideration received on disposals .....	19,198,592	14,852,870
7. Deduct amortization of premium .....		
8. Total foreign exchange change in book/adjusted carrying value .....		
9. Deduct current year's other than temporary impairment recognized .....		
10. Book/adjusted carrying value at end of current period (Lines 1+2+3+4+5-6-7+8-9) .....	0	3,543,948
11. Deduct total nonadmitted amounts .....		
12. Statement value at end of current period (Line 10 minus Line 11)	0	3,543,948

Schedule A - Part 2 - Real Estate Acquired and Additions Made

**N O N E**

Schedule A - Part 3 - Real Estate Disposed

**N O N E**

Schedule B - Part 2 - Mortgage Loans Acquired and Additions Made

**N O N E**

Schedule B - Part 3 - Mortgage Loans Disposed, Transferred or Repaid

**N O N E**

Schedule BA - Part 2 - Other Long-Term Invested Assets Acquired and Additions Made

**N O N E**

Schedule BA - Part 3 - Other Long-Term Invested Assets Disposed, Transferred or Repaid

**N O N E**

STATEMENT AS OF SEPTEMBER 30, 2018 OF THE Empire HealthChoice HMO, Inc.

SCHEDULE D - PART 3

Show All Long-Term Bonds and Stock Acquired During the Current Quarter

1	2	3	4	5	6	7	8	9	10
CUSIP Identification	Description	Foreign	Date Acquired	Name of Vendor	Number of Shares of Stock	Actual Cost	Par Value	Paid for Accrued Interest and Dividends	NAIC Designation or Market Indicator (a)
912828-TV-2	US TREASURY N/B 1.250% 10/31/19		.08/31/2018	1922-EHCHO-Guaranty Fund		1,886,695	1,883,000	7,867	1
0599999	Subtotal - Bonds - U.S. Governments					1,886,695	1,883,000	7,867	XXX
20772K-DV-8	CONNECTICUT ST SERIES E 5.000% 09/15/29		.08/16/2018	National Financial Services		2,197,463	1,935,000	.0	1FE
20772K-EP-0	CONNECTICUT ST SERIES F 5.000% 09/15/28		.08/21/2018	National Financial Services		1,445,888	1,260,000	.0	1FE
452152-2K-6	ILLINOIS STATE SERIES A 5.000% 10/01/27		.08/23/2018	J P Morgan		1,245,418	1,170,000	.0	2FE
574193-QS-0	MARYLAND ST 5.000% 08/01/29		.08/01/2018	Citigroup		1,210,390	1,000,000	.0	1FE
1799999	Subtotal - Bonds - U.S. States, Territories and Possessions					6,099,159	5,365,000	0	XXX
112727-PR-7	BROOKFIELD IL 5.000% 12/01/26		.08/17/2018	BERNARDI SECURITIES INC		887,631	775,000	.0	1FE
642714-BA-6	NEW BRITAIN CT SERIES A 5.000% 03/01/25		.07/01/2018	Tax Free Exchange		363,867	310,000	4,607	1FE
642714-BB-4	NEW BRITAIN CT SERIES A 5.000% 03/01/25		.07/01/2018	Tax Free Exchange		179,186	155,000	2,303	1FE
2499999	Subtotal - Bonds - U.S. Political Subdivisions of States, Territories and Possessions					1,430,684	1,240,000	6,910	XXX
130534-XD-7	CALIFORNIA POLLUTN CTL FING 1.420% 11/01/26		.09/11/2018	Toronto Dominion Securities		1,200,000	1,200,000	.319	1FE
146201-DH-8	CARTER CNTY OK PUBLIC FACS AUT 5.000% 09/01/27		.08/22/2018	D.A. Davidson		335,498	295,000	.0	1FE
146201-DJ-4	CARTER CNTY OK PUBLIC FACS AUT 5.000% 09/01/28		.08/22/2018	D.A. Davidson		343,413	300,000	.0	1FE
146201-DL-9	CARTER CNTY OK PUBLIC FACS AUT 5.000% 09/01/30		.08/22/2018	D.A. Davidson		889,295	785,000	.0	1FE
187145-HO-3	CLIFTON TX HGR EDU FIN CORP ED 5.000% 08/15/27		.09/19/2018	ROBERT W. BAIRD CO. INCO		303,295	260,000	.0	1FE
187145-HR-1	CLIFTON TX HGR EDU FIN CORP ED 5.000% 08/15/28		.09/19/2018	ROBERT W. BAIRD CO. INCO		235,244	200,000	.0	1FE
187145-HS-9	CLIFTON TX HGR EDU FIN CORP ED 5.000% 08/15/29		.09/19/2018	ROBERT W. BAIRD CO. INCO		233,748	200,000	.0	1FE
187145-HT-7	CLIFTON TX HGR EDU FIN CORP ED 5.000% 08/15/30		.09/19/2018	ROBERT W. BAIRD CO. INCO		523,431	450,000	.0	1FE
26111P-AG-0	DOWNRIVER UTILITY WSTWTR AUTH 5.000% 04/01/27		.09/14/2018	J P Morgan		297,333	260,000	.0	1FE
26111P-AJ-4	DOWNRIVER UTILITY WSTWTR AUTH 5.000% 04/01/29		.09/14/2018	J P Morgan		433,363	380,000	.0	1FE
3140J8-4A-8	FINMA POOL BM4416 5.000% 10/01/41		.08/23/2018	ROBERT W. BAIRD CO. INCO		491,266	460,000	1,725	1
348815-PE-5	FORT SMITH AR WTR & SWR REVENU 5.000% 10/01/28		.08/28/2018	Merrill Lynch Pierce Fenner		437,666	370,000	.0	1FE
348815-PG-0	FORT SMITH AR WTR & SWR REVENU 5.000% 10/01/30		.08/28/2018	Merrill Lynch Pierce Fenner		1,097,610	940,000	.0	1FE
39081H-BZ-4	GREAT LAKES MI WTR AUTH SWR DI SERIES B 5.000% 07/01/29		.09/18/2018	Citigroup		1,050,618	890,000	.0	1FE
54714C-AR-8	LOVE FIELD TX ARPT MODERNIZATI 5.000% 11/01/33		.09/05/2018	Barclays		1,504,143	1,350,000	23,625	1FE
64578J-AR-7	NEW JERSEY ST ECON DEV AUTH MT SERIES B 0.000% 07/01/26		.08/29/2018	Barclays		445,431	585,000	.0	2FE
880443-JE-7	TENNESSEE ENERGY ACQ CORP GAS 4.000% 11/01/49		.08/15/2018	Goldman Sachs & Co		2,645,500	2,500,000	.0	1FE
3199999	Subtotal - Bonds - U.S. Special Revenues					12,466,854	11,425,000	25,669	XXX
00206R-GD-8	AT&T INC 3.214% 06/12/24		.08/16/2018	Morgan Stanley		745,000	745,000	.0	2FE
12625K-AD-7	COMM MORTGAGE TRUST SERIES 2013-CR8 CLASS A4 3.334% 06/10/46		.08/21/2018	Various		863,086	860,000	1,752	1FE
254683-BZ-7	DISCOVER CARD MASTER TRUST SERIES 2017-A4 CLASS A4 2.530% 10/15/26		.08/20/2018	Wells Fargo		1,254,957	1,300,000	640	1FE
37045V-AM-2	GENERAL MOTORS CO 3.143% 08/07/20		.07/18/2018	Daiwa Securities		381,843	380,000	2,437	2FE
676303-CM-0	OGDEN CITY UT SCH DIST MUNI BL 5.000% 01/15/33		.09/13/2018	Piper Jaffray & Hopwood Inc		339,444	300,000	.0	1FE
84265V-AH-8	SOUTHERN COPPER CORP 3.875% 04/23/25		.09/25/2018	Bank of America		975,000	1,000,000	16,576	2FE
91911T-AP-8	VALE OVERSEAS LIMITED 6.250% 08/10/26	D	.09/18/2018	HSBC		766,150	700,000	4,861	2FE
3899999	Subtotal - Bonds - Industrial and Miscellaneous (Unaffiliated)					5,325,480	5,285,000	26,266	XXX
8399997	Total - Bonds - Part 3					27,208,872	25,198,000	66,712	XXX
8399998	Total - Bonds - Part 5					XXX	XXX	XXX	XXX
8399999	Total - Bonds					27,208,872	25,198,000	66,712	XXX
8999997	Total - Preferred Stocks - Part 3					0	XXX	0	XXX
8999998	Total - Preferred Stocks - Part 5					XXX	XXX	XXX	XXX
8999999	Total - Preferred Stocks					0	XXX	0	XXX
9799997	Total - Common Stocks - Part 3					0	XXX	0	XXX
9799998	Total - Common Stocks - Part 5					XXX	XXX	XXX	XXX
9799999	Total - Common Stocks					0	XXX	0	XXX
9899999	Total - Preferred and Common Stocks					0	XXX	0	XXX
9999999	Totals					27,208,872	XXX	66,712	XXX

(a) For all common stock bearing the NAIC market indicator "U" provide: the number of such issues .....



STATEMENT AS OF SEPTEMBER 30, 2018 OF THE Empire HealthChoice HMO, Inc.

SCHEDULE D - PART 4

Show All Long-Term Bonds and Stock Sold, Redeemed or Otherwise Disposed of During the Current Quarter

1	2	3	4	5	6	7	8	9	10	Change In Book/Adjusted Carrying Value					16	17	18	19	20	21	22
										11	12	13	14	15							
CUSIP Identification	Description	For- eign	Disposal Date	Name of Purchaser	Number of Shares of Stock	Consid- eration	Par Value	Actual Cost	Prior Year Book/ Adjusted Carrying Value	Unrealized Valuation Increase/ (Decrease)	Current Year's (Amor- tization)/ Accretion	Current Year's Other Than Temporary Impairment Recogn- ized	Total Change in Book/ Adjusted Carrying Value (11 + 12 - 13)	Total Foreign Exchange Change in Book /Adjusted Carrying Value	Book/ Adjusted Carrying Value at Disposal Date	Foreign Exchange Gain (Loss) on Disposal	Realized Gain (Loss) on Disposal	Total Gain (Loss) on Disposal	Bond Interest/ Stock Dividends Received During Year	Stated Con- tractual Maturity Date	NAIC Desig- nation or Market In- dicator (a)
912828-TV-2	US TREASURY N/B 1.250% 10/31/19		09/25/2018	Salomon Bros		689,391	700,000	704,074	.0	.0	(84)	.0	(84)	.0	701,289	.0	(11,899)	(11,899)	3,543	10/31/2019	1
0599999	Subtotal - Bonds - U.S. Governments					689,391	700,000	704,074	0	0	(84)	0	(84)	0	701,289	0	(11,899)	(11,899)	3,543	XXX	XXX
171646-RL-8	CICERO IL SERIES A 5.000% 01/01/19		09/04/2018	Janney Montgomery Scott		1,089,871	1,080,000	1,200,852	1,106,418	.0	(17,926)	.0	(17,926)	.0	1,088,492	.0	1,380	1,380	63,750	01/01/2019	1FE
171646-RN-4	CICERO IL SERIES A 5.000% 01/01/21		08/21/2018	Stifel Nicolaus & Co		761,918	720,000	776,003	746,503	.0	(5,459)	.0	(5,459)	.0	741,045	.0	20,874	20,874	41,200	01/01/2021	1FE
172217-SD-4	CINCINNATI OH SERIES A 5.000% 12/01/24		08/21/2018	Fenner		750,283	675,000	785,484	738,343	.0	(8,783)	.0	(8,783)	.0	729,560	.0	20,723	20,723	24,563	12/01/2024	1FE
354496-FY-2	FRANKLIN PARK IL 4.000% 07/01/21		09/27/2018	Pershing		103,559	100,000	99,477	99,786	.0	.43	.0	.43	.0	99,830	.0	3,729	3,729	5,000	07/01/2021	1FE
416415-BW-6	HARTFORD CT SERIES A 5.000% 04/01/23		08/16/2018	First Southwest Co		122,621	110,000	117,405	.0	.0	(434)	.0	(434)	.0	116,971	.0	5,650	5,650	2,124	04/01/2023	1FE
447819-AP-8	HURST EULESS BEDFORD TEX INOPT SCH DIST REF 5.000% 08/15/20		08/22/2018	D.A. Davidson		1,593,855	1,500,000	1,588,950	1,522,057	.0	(5,208)	.0	(5,208)	.0	1,516,848	.0	77,007	77,007	76,875	08/15/2020	1FE
642714-AD-1	NEW BRITAIN CT SERIES A 5.000% 03/01/25		07/01/2018	Tax Free Exchange		543,053	465,000	556,460	548,029	.0	(4,976)	.0	(4,976)	.0	543,053	.0	.0	.0	18,535	03/01/2025	1FE
72403M-BZ-5	PIONEERS CA MEMORIAL HEALTHCAR 4.000% 10/01/19		08/15/2018	Morgan Stanley		627,878	615,000	659,667	626,983	.0	(4,231)	.0	(4,231)	.0	622,752	.0	5,126	5,126	21,593	10/01/2019	2FE
825434-SF-6	SHREVEPORT LA 5.000% 08/01/31		08/06/2018	Pershing		114,480	100,000	114,053	114,042	.0	(756)	.0	(756)	.0	113,286	.0	1,194	1,194	3,056	08/01/2031	1FE
8790SR-DG-5	TEHACHAPI VY HEALTHCARE DIST 4.000% 11/01/19		08/21/2018	Stifel Nicolaus & Co		467,799	455,000	510,032	471,047	.0	(5,575)	.0	(5,575)	.0	465,472	.0	2,328	2,328	14,762	11/01/2019	1FE
2499999	Subtotal - Bonds - U.S. Political Subdivisions of States, Territories and Possessions					6,175,317	5,820,000	6,408,383	5,973,208	0	(53,305)	0	(53,305)	0	6,037,309	0	138,011	138,011	271,458	XXX	XXX
01176P-BW-9	ALASKA ST RAILROAD CORP CAPITA SERIES A 5.000% 08/01/18		08/01/2018	Maturity		835,000	835,000	911,327	851,754	.0	(16,754)	.0	(16,754)	.0	835,000	.0	.0	.0	41,750	08/01/2018	1FE
015086-MX-6	ALEXANDRIA LA UTILITIES REVENU 4.000% 05/01/23		09/27/2018	Paine Webber		143,293	135,000	143,529	140,250	.0	(685)	.0	(685)	.0	139,564	.0	3,729	3,729	4,950	05/01/2023	1FE
130534-XD-7	CALIFORNIA POLLUTN CTL FING 1.420% 11/01/26		09/28/2018	Toronto Dominion Securities		1,200,000	1,200,000	1,200,000	.0	.0	.0	.0	.0	.0	1,200,000	.0	.0	.0	1,125	11/01/2026	1FE
13080S-CA-0	CALIFORNIA STWD CNTYYS DEV AUT SERIES A 5.000% 10/01/22		08/21/2018	National Financial Services		450,453	405,000	441,478	426,452	.0	(2,691)	.0	(2,691)	.0	423,761	.0	26,693	26,693	18,113	10/01/2022	1FE
181108-VM-0	CLARK CNTY WASH PUB UTIL 5.000% 01/01/24		08/20/2018	Piper Jeffries & Co		709,645	660,000	696,953	673,247	.0	(2,698)	.0	(2,698)	.0	670,549	.0	39,096	39,096	37,675	01/01/2024	1FE
181108-VP-3	CLARK CNTY WASH PUB UTIL 5.000% 01/01/26		09/11/2018	Loop Capital Markets		304,448	285,000	294,399	288,400	.0	(754)	.0	(754)	.0	287,646	.0	16,803	16,803	17,100	01/01/2026	1FE
186103-FW-2	CLEVELAND-OVAHOGA CNTY OHIO 5.750% 11/15/20		08/21/2018	ROBERT W. BAIRD CO. INCO		1,019,200	980,000	1,036,781	999,393	.0	(4,119)	.0	(4,119)	.0	995,274	.0	23,926	23,926	43,515	11/15/2020	1FE
19645R-WQ-0	COLORADO ST EDUCNL & CULTURAL 4.000% 08/15/21		09/27/2018	Morgan Stanley		103,730	100,000	107,128	103,826	.0	(760)	.0	(760)	.0	103,066	.0	664	664	4,511	08/15/2021	1FE
19645R-WR-8	COLORADO ST EDUCNL & CULTURAL 4.000% 08/15/22		09/27/2018	Morgan Stanley		130,723	125,000	131,979	129,211	.0	(642)	.0	(642)	.0	128,569	.0	2,154	2,154	5,639	08/15/2022	1FE
19645R-XE-6	COLORADO ST EDUCNL & CULTURAL 3.000% 11/15/18		09/27/2018	Morgan Stanley		115,003	115,000	121,196	116,317	.0	(1,132)	.0	(1,132)	.0	115,185	.0	(182)	(182)	3,028	11/15/2018	1FE
207758-QJ-5	CONNECTICUT ST SPL TAX OBLIG 5.000% 01/01/24		09/11/2018	Piper Jeffries & Co		248,562	225,000	276,950	253,087	.0	(3,742)	.0	(3,742)	.0	249,345	.0	(783)	(783)	13,500	01/01/2024	1FE
235036-R7-7	DALLAS FORT WORTH TEX INTL ARP SERIES G 5.000% 11/01/19		09/05/2018	Oppenheimer & Co.		166,021	160,000	184,040	167,709	.0	(2,837)	.0	(2,837)	.0	164,873	.0	1,148	1,148	6,800	11/01/2019	1FE
3128M6-AP-3	FHLMC GIANT POOL G04214 5.500% 05/01/38		09/01/2018	Paydown		12,040	12,040	12,156	12,147	.0	(107)	.0	(107)	.0	12,040	.0	.0	.0	447	05/01/2038	1
3128M6-LG-1	FHLMC GIANT POOL G04527 5.500% 07/01/38		09/01/2018	Paydown		11,932	11,932	11,625	11,641	.0	291	.0	291	.0	11,932	.0	.0	.0	430	07/01/2038	1
3128MJ-GA-2	FHLMC GOLD POOL G08192 5.500% 04/01/37		09/01/2018	Paydown		5,532	5,532	5,434	5,440	.0	93	.0	93	.0	5,532	.0	.0	.0	204	04/01/2037	1
3128MJ-UP-6	FHLMC GOLD POOL G08269 5.500% 05/01/38		09/01/2018	Paydown		5,143	5,143	5,073	5,076	.0	67	.0	67	.0	5,143	.0	.0	.0	178	05/01/2038	1
3128MM-D6-7	FHLMC GOLD POOL G18124 6.000% 06/01/21		09/06/2018	J P Morgan		64,252	62,992	62,992	62,992	.0	.0	.0	.0	.0	62,992	.0	1,260	1,260	3,013	06/01/2021	1
3128MI-D6-7	FHLMC GOLD POOL G18124 6.000% 06/01/21		09/01/2018	Paydown		13,783	13,783	13,783	13,783	.0	.0	.0	.0	.0	13,783	.0	.0	.0	549	06/01/2021	1
31359N-QC-8	FNMA ACES SERIES 1997-10 CLASS ZA 6.600% 03/18/27		09/01/2018	Paydown		11,511	11,511	11,743	11,636	.0	(126)	.0	(126)	.0	11,511	.0	.0	.0	509	03/18/2027	1
31371L-F2-0	FNMA POOL 254985 5.000% 11/01/23		09/20/2018	J P Morgan		127,144	121,234	115,137	117,484	.0	365	.0	365	.0	117,849	.0	9,295	9,295	4,715	11/01/2023	1
31371L-F2-0	FNMA POOL 254985 5.000% 11/01/23		09/01/2018	Paydown		10,479	9,952	10,155	10,155	.0	324	.0	324	.0	10,479	.0	.0	.0	348	11/01/2023	1
31371L-VJ-5	FNMA POOL 255417 6.000% 09/01/24		09/20/2018	J P Morgan		89,255	82,644	82,517	82,433	.0	(6)	.0	(6)	.0	82,427	.0	6,829	6,829	3,857	09/01/2024	1
31371L-VJ-5	FNMA POOL 255417 6.000% 09/01/24		09/01/2018	Paydown		7,910	7,910	7,898	7,890	.0	20	.0	20	.0	7,910	.0	.0	.0	321	09/01/2024	1
31371L-W3-9	FNMA POOL 255466 6.000% 10/01/24		09/20/2018	J P Morgan		92,850	85,973	85,840	85,752	.0	(11)	.0	(11)	.0	85,741	.0	7,110	7,110	4,012	10/01/2024	1
31371L-W3-9	FNMA POOL 255466 6.000% 10/01/24		09/01/2018	Paydown		7,156	7,156	7,145	7,137	.0	18	.0	18	.0	7,156	.0	.0	.0	283	10/01/2024	1
31371M-TC-1	FNMA POOL 256247 6.000% 05/01/26		09/20/2018	J P Morgan		87,855	81,347	81,121	81,092	.0	(2)	.0	(2)	.0	81,090	.0	6,765	6,765	3,796	05/01/2026	1
31371M-TC-1	FNMA POOL 256247 6.000% 05/01/26		09/01/2018	Paydown		6,593	6,593	6,575	6,573	.0	21	.0	21	.0	6,593	.0	.0	.0	266	05/01/2026	1
31385X-F9-3	FNMA POOL 555592 5.500% 07/01/33		09/01/2018	Paydown		6,481	6,481	6,268	6,291	.0	190	.0	190	.0	6,481	.0	.0	.0	236	07/01/2033	1

STATEMENT AS OF SEPTEMBER 30, 2018 OF THE Empire HealthChoice HMO, Inc.

SCHEDULE D - PART 4

Show All Long-Term Bonds and Stock Sold, Redeemed or Otherwise Disposed of During the Current Quarter

1	2		3	4	5	6	7	8	9	10	Change In Book/Adjusted Carrying Value					16	17	18	19	20	21	22
											11	12	13	14	15							
CUSIP Ident- ification	Description		For- eign	Disposal Date	Name of Purchaser	Number of Shares of Stock	Consid- eration	Par Value	Actual Cost	Prior Year Book/ Adjusted Carrying Value	Unrealized Valuation Increase/ (Decrease)	Current Year's (Amor- tization)/ Accretion	Current Year's Other Than Temporary Impairment Recogn- ized	Total Change in Book/ Adjusted Carrying Value (11 + 12 - 13)	Total Foreign Exchange Change in Book /Adjusted Carrying Value	Book/ Adjusted Carrying Value at Disposal Date	Foreign Exchange Gain (Loss) on Disposal	Realized Gain (Loss) on Disposal	Total Gain (Loss) on Disposal	Bond Interest/ Stock Dividends Received During Year	Stated Con- tractual Maturity Date	NAIC Desig- nation or Market In- dicator (a)
31402D-C2-4	FNMA POOL 725589	5.000% 07/01/34		08/23/2018	ROBERT W. BAIRD CO. INCO		626,670	587,045	603,830	602,009	.0	(407)	.0	(407)	.0	601,602	.0	25,068	25,068	21,770	07/01/2034	1
31402D-C2-4	FNMA POOL 725589	5.000% 07/01/34		08/01/2018	Paydown		21,989	21,989	22,618	22,550	.0	(561)	.0	(561)	.0	21,989	.0	.0	.0	687	07/01/2034	1
31402D-JS-0	FNMA POOL 725773	5.500% 09/01/34		09/01/2018	Paydown		9,945	9,945	9,612	9,641	.0	304	.0	304	.0	9,945	.0	.0	.0	363	09/01/2034	1
31402Q-Y3-9	FNMA POOL 735230	5.500% 02/01/35		09/01/2018	Paydown		7,043	7,043	6,806	6,826	.0	218	.0	218	.0	7,043	.0	.0	.0	255	02/01/2035	1
31402R-DG-1	FNMA POOL 735503	6.000% 04/01/35		09/01/2018	Paydown		10,568	10,568	10,487	10,491	.0	77	.0	77	.0	10,568	.0	.0	.0	422	04/01/2035	1
31403C-6L-0	FNMA POOL 745275	5.000% 02/01/36		08/23/2018	ROBERT W. BAIRD CO. INCO		343,359	321,648	332,483	331,551	.0	(186)	.0	(186)	.0	331,365	.0	11,994	11,994	11,928	02/01/2036	1
31403C-6L-0	FNMA POOL 745275	5.000% 02/01/36		08/01/2018	Paydown		10,552	10,552	10,907	10,877	.0	(325)	.0	(325)	.0	10,552	.0	.0	.0	327	02/01/2036	1
31407Y-R6-8	FNMA POOL 844809	5.000% 11/01/35		08/23/2018	ROBERT W. BAIRD CO. INCO		108,112	101,276	95,117	95,465	.0	114	.0	114	.0	95,579	.0	12,533	12,533	3,756	11/01/2035	1
31407Y-R6-8	FNMA POOL 844809	5.000% 11/01/35		08/01/2018	Paydown		3,259	3,259	3,072	3,072	.0	187	.0	187	.0	3,259	.0	.0	.0	103	11/01/2035	1
3140FX-FR-8	FNMA POOL BF0175	2.500% 01/01/57		09/01/2018	Paydown		29,356	29,356	28,082	7,502	.0	1,307	.0	1,307	.0	29,356	.0	.0	.0	506	01/01/2057	1
3140JB-AA-8	FNMA POOL BM4416	5.000% 10/01/41		09/01/2018	Paydown		7,367	7,367	7,868	(501)	.0	(501)	.0	(501)	.0	7,367	.0	.0	.0	31	10/01/2041	1
31413B-TW-1	FNMA POOL 940765	5.500% 06/01/37		09/01/2018	Paydown		5,027	5,027	5,205	5,196	.0	(170)	.0	(170)	.0	5,027	.0	.0	.0	203	06/01/2037	1
31419A-ZK-6	FNMA POOL AE0745	6.000% 03/01/24		09/06/2018	J P Morgan		102,902	100,884	109,743	106,532	.0	(241)	.0	(241)	.0	106,291	.0	(3,390)	(3,390)	4,826	03/01/2024	1
31419A-ZK-6	FNMA POOL AE0745	6.000% 03/01/24		09/01/2018	Paydown		13,720	12,612	13,318	(706)	.0	(706)	.0	(706)	.0	12,612	.0	.0	.0	504	03/01/2024	1
34326R-AF-3	FLORIN RESOURCE CONSERVATION D SERIES A	5.000% 09/01/21		09/27/2018	Piper Jaffray & Hopwood Inc		426,770	395,000	453,887	428,503	.0	(6,600)	.0	(6,600)	.0	421,903	.0	4,867	4,867	21,396	09/01/2021	1FE
45203H-KZ-4	ILLINOIS FIN AUTH	5.000% 05/15/23		08/22/2018	ROBERT W. BAIRD CO. INCO		1,257,180	1,150,000	1,315,301	1,231,350	.0	(11,337)	.0	(11,337)	.0	1,220,013	.0	37,167	37,167	44,563	05/15/2023	1FE
515741-ES-1	LANGHORNE MANOR BORO PA HGR	5.000% 11/15/21		09/27/2018	Merrill Lynch Pierce Fenner		164,883	155,000	183,441	168,677	.0	(2,544)	.0	(2,544)	.0	166,133	.0	(1,250)	(1,250)	6,803	11/15/2021	1FE
517704-DL-3	LAS VEGAS NEW CONVENTION	4.500% 07/01/23		08/22/2018	ROBERT W. BAIRD CO. INCO		587,838	560,000	552,104	555,983	.0	423	.0	423	.0	556,405	.0	31,432	31,432	28,910	07/01/2023	1FE
64577B-3Y-8	NEW JERSEY ECONOMIC DEVELOPMEN	4.000% 06/01/22		09/07/2018	ROBERT W. BAIRD CO. INCO		284,399	270,000	290,617	290,580	.0	(3,113)	.0	(3,113)	.0	287,467	.0	(3,068)	(3,068)	7,590	06/01/2022	1FE
64577B-3Z-5	NEW JERSEY ECONOMIC DEVELOPMEN	5.000% 06/01/23		09/07/2018	ROBERT W. BAIRD CO. INCO		387,251	350,000	396,592	396,524	.0	(5,649)	.0	(5,649)	.0	390,875	.0	(3,625)	(3,625)	12,299	06/01/2023	1FE
68608J-PZ-8	OREGON ST FACS AUTH	3.500% 07/01/20		09/27/2018	D.A. Davidson		132,330	130,000	130,000	130,000	.0	.0	.0	.0	.0	130,000	.0	2,330	2,330	5,688	07/01/2020	1FE
745277-QD-8	PUERTO RICO MUN FIN AGY SERIES A	5.000% 08/01/18		08/01/2018	Maturity		115,000	115,000	114,588	114,941	.0	59	.0	59	.0	115,000	.0	.0	.0	5,750	08/01/2018	1FE
762197-KQ-3	RHODE ISLAND HEALTH & EDL	5.000% 08/15/23		08/20/2018	Stifel Nicolaus & Co		800,792	725,000	865,585	795,004	.0	(9,190)	.0	(9,190)	.0	785,814	.0	14,978	14,978	36,955	08/15/2023	1FE
791524-BH-3	ST LOUIS CNTY MO INDL DEV AUTH	5.000% 09/01/18		09/01/2018	Maturity		185,000	185,000	208,214	187,765	.0	(2,765)	.0	(2,765)	.0	185,000	.0	.0	.0	9,250	09/01/2018	2FE
798410-AD-8	SAN JUAN TEX HIGHER ED FIN	5.125% 08/15/20		08/15/2018	Redemption 100.0000		30,000	30,000	30,000	30,000	.0	.0	.0	.0	.0	30,000	.0	.0	.0	1,538	08/15/2020	2FE
880443-JE-7	TENNESSEE ENERGY ACQ CORP GAS	4.000% 11/01/49		08/20/2018	Goldman Sachs & Co		1,326,775	1,250,000	1,322,750	.0	.0	.0	.0	.0	.0	1,322,750	.0	4,025	4,025	.0	11/01/2049	1FE
3199999	Subtotal - Bonds - U.S. Special Revenues						12,982,973	12,301,321	13,193,637	10,231,525	0	(77,283)	0	(77,283)	0	12,705,406	0	277,568	277,568	447,293	XXX	XXX
02377B-AB-2	AMER AIRLN 15-2 AA PTT	3.800% 03/22/29		09/22/2018	Redemption 100.0000		16,461	16,461	16,461	16,461	.0	.0	.0	.0	.0	16,461	.0	.0	.0	593	09/22/2027	1FE
05950B-AG-9	BANC OF AMERICA ALT LN TR SERIES 2006-5 CLASS CB7	6.000% 06/25/46		09/01/2018	Paydown		22,101	26,429	16,281	23,689	.0	(1,588)	.0	(1,588)	.0	22,101	.0	.0	.0	1,062	06/25/2046	4FM
12625K-AD-7	COMM MORTGAGE TRUST SERIES 2013-CRB CLASS A4	3.334% 06/10/46		09/01/2018	Paydown		281,596	281,596	282,606	.0	.0	(1,010)	.0	(1,010)	.0	281,596	.0	.0	.0	782	06/10/2046	1FE
126650-BP-4	CVS/CAREMARK CORP	6.036% 12/10/28		09/10/2018	Redemption 100.0000		7,213	7,213	8,067	7,962	.0	(36)	.0	(36)	.0	7,927	.0	(713)	(713)	2,330	12/10/2028	2FE
16163C-AH-5	CHASE MORTGAGE FINANCE CORP SERIES 2006-A1	CLASS 2A3 4.272% 09/25/36		09/01/2018	Paydown		71,271	76,702	37,154	47,448	.0	23,823	.0	23,823	.0	71,271	.0	.0	.0	1,763	09/25/2036	1FM
17275R-BL-5	CISCO SYSTEMS INC	2.500% 09/20/26		08/21/2018	US Bancorp		1,358,607	1,450,000	1,457,678	1,456,757	.0	(479)	.0	(479)	.0	1,456,277	.0	(97,671)	(97,671)	33,531	09/20/2026	1FE
24736X-AA-6	DELTA AIR LINES SERIES 15-1	3.625% 01/30/29		07/30/2018	Redemption 100.0000		18,300	18,300	18,300	18,300	.0	.0	.0	.0	.0	18,300	.0	.0	.0	663	07/30/2027	1FE
350910-AN-5	FOUR TIMES SQUARE TRUST SERIES 2006-4TS CLASS A	5.401% 12/13/28		09/11/2018	Paydown		4,633	4,633	5,351	4,803	.0	(171)	.0	(171)	.0	4,633	.0	.0	.0	166	12/13/2028	1FM
576434-NU-4	MASTER ALTERNATIVE LOANS TRUST SERIES 2004-3 CLASS 1A1	5.000% 03/25/19		09/01/2018	Paydown		7,203	7,203	6,882	7,128	.0	75	.0	75	.0	7,203	.0	.0	.0	241	03/25/2019	1FM

SCHEDULE D - PART 4

Show All Long-Term Bonds and Stock Sold, Redeemed or Otherwise Disposed of During the Current Quarter

1	2	3	4	5	6	7	8	9	10	Change In Book/Adjusted Carrying Value					16	17	18	19	20	21	22
										11	12	13	14	15							
CUSIP Ident-ification	Description	For-eign	Disposal Date	Name of Purchaser	Number of Shares of Stock	Consid-eration	Par Value	Actual Cost	Prior Year Book/ Adjusted Carrying Value	Unrealized Valuation Increase/ (Decrease)	Current Year's (Amor-tization)/ Accretion	Current Year's Other Than Temporary Impairment Recog-nized	Total Change in Book/ Adjusted Carrying Value (11 + 12 - 13)	Total Foreign Exchange Change in Book /Adjusted Carrying Value	Book/ Adjusted Carrying Value at Disposal Date	Foreign Exchange Gain (Loss) on Disposal	Realized Gain (Loss) on Disposal	Total Gain (Loss) on Disposal	Bond Interest/ Stock Dividends Received DuringYear	Stated Con-tractual Maturity Date	NAIC Desig-nation or Market In-dicator (a)
61745M-2H-5	MORGAN STANLEY CAPITAL I SERIES 2005-1Q9 CLASS AJ 4.770% 07/15/56		09/01/2018	Paydown		10,066	10,066	10,743	10,110	0	(45)	0	(45)	0	10,066	0	0	0	536	07/15/2056	1FM
651229-AV-8	NEWELL BRANDS INC 3.850% 04/01/23		08/29/2018	Salomon Bros		1,274,221	1,300,000	1,348,893	1,342,656	0	(5,208)	0	(5,208)	0	1,337,448	0	(63,227)	(63,227)	45,879	04/01/2023	2FE
85208N-AA-8	SPRINT SPECTRUM SPEC I SERIES A-1 3.360% 09/20/21		09/20/2018	Redemption 100.0000		51,250	51,250	51,601	51,482	0	(55)	0	(55)	0	51,428	0	(178)	(178)	1,292	09/20/2021	2FE
92935J-BC-8	WF-RBS COMMERCIAL MTG TRUST SERIES 2011- C2 CLASS A4 4.869% 02/15/44		09/01/2018	Paydown		7,690	7,690	9,036	8,010	0	(320)	0	(320)	0	7,690	0	0	0	249	02/15/2044	1FM
92935V-AE-8	WF-RBS COMMERCIAL MTG TRUST SERIES 2011-C3 CLASS A3 3.998% 03/15/44		09/01/2018	Paydown		72,939	72,939	73,668	72,993	0	(54)	0	(54)	0	72,939	0	0	0	2,103	03/15/2044	1FM
98420E-AC-9	XLIT LTD 4.450% 03/31/25		08/29/2018	Stifel Nicolaus & Co		558,116	560,000	557,945	558,423	0	125	0	125	0	558,548	0	(431)	(431)	22,843	03/31/2025	2FE
3899999	Subtotal - Bonds - Industrial and Miscellaneous (Unaffiliated)					3,761,667	3,890,482	3,900,666	3,626,222	0	15,057	0	15,057	0	3,923,888	0	(162,220)	(162,220)	114,033	XXX	XXX
8399997	Total - Bonds - Part 4					23,609,348	22,711,803	24,206,760	19,830,955	0	(115,615)	0	(115,615)	0	23,367,892	0	241,460	241,460	836,327	XXX	XXX
8399998	Total - Bonds - Part 5					XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX
8399999	Total - Bonds					23,609,348	22,711,803	24,206,760	19,830,955	0	(115,615)	0	(115,615)	0	23,367,892	0	241,460	241,460	836,327	XXX	XXX
8999997	Total - Preferred Stocks - Part 4					0	XXX	0	0	0	0	0	0	0	0	0	0	0	0	XXX	XXX
8999998	Total - Preferred Stocks - Part 5					XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX
8999999	Total - Preferred Stocks					0	XXX	0	0	0	0	0	0	0	0	0	0	0	0	XXX	XXX
9799997	Total - Common Stocks - Part 4					0	XXX	0	0	0	0	0	0	0	0	0	0	0	0	XXX	XXX
9799998	Total - Common Stocks - Part 5					XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX
9799999	Total - Common Stocks					0	XXX	0	0	0	0	0	0	0	0	0	0	0	0	XXX	XXX
9899999	Total - Preferred and Common Stocks					0	XXX	0	0	0	0	0	0	0	0	0	0	0	0	XXX	XXX
9999999	Totals					23,609,348	XXX	24,206,760	19,830,955	0	(115,615)	0	(115,615)	0	23,367,892	0	241,460	241,460	836,327	XXX	XXX

(a) For all common stock bearing the NAIC market indicator "U" provide: the number of such issues.....

Schedule DB - Part A - Section 1 - Options, Caps, Floors, Collars, Swaps and Forwards Open  
**N O N E**

Schedule DB - Part B - Section 1 - Futures Contracts Open  
**N O N E**

Schedule DB - Part B - Section 1B - Brokers with whom cash deposits have been made  
**N O N E**

Schedule DB - Part D - Section 1 - Counterparty Exposure for Derivative Instruments Open  
**N O N E**

Schedule DB - Part D-Section 2 - Collateral for Derivative Instruments Open - Pledged By  
**N O N E**

Schedule DB - Part D-Section 2 - Collateral for Derivative Instruments Open - Pledged To  
**N O N E**

SCHEDULE DL - PART 1  
SECURITIES LENDING COLLATERAL ASSETS

Reinvested Collateral Assets Owned Current Statement Date

(Securities lending collateral assets reported in aggregate on Line 10 of the Assets page and not included on Schedules A, B, BA, D, DB and E)

1	2	3	4	5	6	7
CUSIP Identification	Description	Code	NAIC Designation/ Market Indicator	Fair Value	Book/Adjusted Carrying Value	Maturity Date
912810-EF-1	UNITED STATES OF AMERICA BOND FIXED 8.75% 15/MAY/2020 USD 100		1	689	689	05/15/2020
912810-EN-4	UNITED STATES OF AMERICA BOND FIXED 7.625% 15/NOV/2022 USD 100		1	1,642	1,642	11/15/2022
912810-FF-0	UNITED STATES OF AMERICA BOND FIXED 5.25% 15/NOV/2028 USD 100		1	6,035	6,035	11/15/2028
912810-FM-5	UNITED STATES OF AMERICA BOND FIXED 6.25% 15/MAY/2030 USD 100		1	5,974	5,974	05/15/2030
912810-FR-4	UNITED STATES OF AMERICA BOND FIXED 2.375% 15/JAN/2025 USD 100		1	9,899	9,899	01/15/2025
912810-FS-2	UNITED STATES OF AMERICA BOND FIXED 2% 15/JAN/2026 USD 100		1	4,544	4,544	01/15/2026
912810-QQ-4	UNITED STATES OF AMERICA BOND FIXED 4.375% 15/MAY/2041 USD 100		1	7,105	7,105	05/15/2041
912810-RB-6	UNITED STATES OF AMERICA BOND FIXED 2.875% 15/MAY/2043 USD 100		1	6,244	6,244	05/15/2043
912810-RJ-9	UNITED STATES OF AMERICA BOND FIXED 3% 15/NOV/2044 USD 100		1	7,839	7,839	11/15/2044
912810-RS-9	UNITED STATES OF AMERICA BOND FIXED 2.5% 15/MAY/2046 USD 100		1	23,987	23,987	05/15/2046
912810-RT-7	UNITED STATES OF AMERICA BOND FIXED 2.25% 15/AUG/2046 USD 100		1	992	992	08/15/2046
912810-RU-4	UNITED STATES OF AMERICA BOND FIXED 2.875% 15/NOV/2046 USD 100		1	1,728	1,728	11/15/2046
912828-2A-7	UNITED STATES OF AMERICA NOTES FIXED 1.5% 15/AUG/2026 USD 100		1	83,935	83,935	08/15/2026
912828-2P-4	UNITED STATES OF AMERICA NOTES FIXED 1.875% 31/JUL/2022 USD 100		1	32,773	32,773	07/31/2022
912828-2Y-5	UNITED STATES OF AMERICA NOTES FIXED 2.125% 30/SEP/2024 USD 100		1	1,308	1,308	09/30/2024
912828-3J-7	UNITED STATES OF AMERICA NOTES FIXED 2.125% 30/NOV/2024 USD 100		1	6,894	6,894	11/30/2024
912828-3Q-1	UNITED STATES OF AMERICA NOTES FIXED 2% 15/JAN/2021 USD 100		1	3,477	3,477	01/15/2021
912828-3X-6	UNITED STATES OF AMERICA NOTES FIXED 2.25% 15/FEB/2021 USD 100		1	4,027	4,027	02/15/2021
912828-3Z-1	UNITED STATES OF AMERICA NOTES FIXED 2.75% 28/FEB/2025 USD 100		1	8,716	8,716	02/28/2025
912828-4A-5	UNITED STATES OF AMERICA NOTES FIXED 2.625% 28/FEB/2023 USD 100		1	2,014	2,014	02/28/2023
912828-4D-9	UNITED STATES OF AMERICA NOTES FIXED 2.5% 31/MAR/2023 USD 100		1	62,047	62,047	03/31/2023
912828-4P-2	UNITED STATES OF AMERICA NOTES FIXED 2.625% 15/MAY/2021 USD 100		1	115,779	115,779	05/15/2021
912828-4Q-0	UNITED STATES OF AMERICA NOTES FIXED 2.5% 31/MAY/2020 USD 100		1	6,675	6,675	05/31/2020
912828-B2-5	UNITED STATES OF AMERICA NOTES FIXED .625% 15/JAN/2024 USD 100		1	970	970	01/15/2024
912828-B9-0	UNITED STATES OF AMERICA NOTES FIXED 2% 28/FEB/2021 USD 100		1	1,266	1,266	02/28/2021
912828-C5-7	UNITED STATES OF AMERICA NOTES FIXED 2.25% 31/MAR/2021 USD 100		1	5,600	5,600	03/31/2021
912828-D5-6	UNITED STATES OF AMERICA NOTES FIXED 2.375% 15/AUG/2024 USD 100		1	9,875	9,875	08/15/2024
912828-D7-2	UNITED STATES OF AMERICA NOTES FIXED 2% 31/AUG/2021 USD 100		1	4,509	4,509	08/31/2021
912828-F6-2	UNITED STATES OF AMERICA NOTES FIXED 1.5% 31/OCT/2019 USD 100		1	62,199	62,199	10/31/2019
912828-F9-6	UNITED STATES OF AMERICA NOTES FIXED 2% 31/OCT/2021 USD 100		1	23,859	23,859	10/31/2021
912828-G3-8	UNITED STATES OF AMERICA NOTES FIXED 2.25% 15/NOV/2024 USD 100		1	8,923	8,923	11/15/2024
912828-G5-3	UNITED STATES OF AMERICA NOTES FIXED 1.875% 30/NOV/2021 USD 100		1	287	287	11/30/2021
912828-H5-2	UNITED STATES OF AMERICA NOTES FIXED 1.25% 31/JAN/2020 USD 100		1	8,005	8,005	01/31/2020
912828-H8-6	UNITED STATES OF AMERICA NOTES FIXED 1.5% 31/JAN/2022 USD 100		1	8,581	8,581	01/31/2022
912828-J2-7	UNITED STATES OF AMERICA NOTES FIXED 2% 15/FEB/2025 USD 100		1	6,749	6,749	02/15/2025
912828-J5-0	UNITED STATES OF AMERICA NOTES FIXED 1.375% 29/FEB/2020 USD 100		1	677	677	02/29/2020
912828-J8-4	UNITED STATES OF AMERICA NOTES FIXED 1.375% 31/MAR/2020 USD 100		1	15,535	15,535	03/31/2020
912828-K7-4	UNITED STATES OF AMERICA NOTES FIXED 2% 15/AUG/2025 USD 100		1	8,089	8,089	08/15/2025
912828-M4-9	UNITED STATES OF AMERICA NOTES FIXED 1.875% 31/OCT/2022 USD 100		1	3,511	3,511	10/31/2022
912828-PP-9	UNITED STATES OF AMERICA NOTES FIXED 1.125% 15/JAN/2021 USD 100		1	116,524	116,524	01/15/2021
912828-PX-2	UNITED STATES OF AMERICA NOTES FIXED 3.625% 15/FEB/2021 USD 100		1	18,633	18,633	02/15/2021
912828-Q3-7	UNITED STATES OF AMERICA NOTES FIXED 1.25% 31/MAR/2021 USD 100		1	6,383	6,383	03/31/2021
912828-R3-6	UNITED STATES OF AMERICA NOTES FIXED 1.625% 15/MAY/2026 USD 100		1	3,090	3,090	05/15/2026
912828-R6-9	UNITED STATES OF AMERICA NOTES FIXED 1.625% 31/MAY/2023 USD 100		1	17,822	17,822	05/31/2023
912828-RC-6	UNITED STATES OF AMERICA NOTES FIXED 2.125% 15/AUG/2021 USD 100		1	5,330	5,330	08/15/2021
912828-S5-0	UNITED STATES OF AMERICA NOTES FIXED .125% 15/JUL/2026 USD 100		1	26,713	26,713	07/15/2026
912828-SV-3	UNITED STATES OF AMERICA NOTES FIXED 1.75% 15/MAY/2022 USD 100		1	6,295	6,295	05/15/2022
912828-T9-1	UNITED STATES OF AMERICA NOTES FIXED 1.625% 31/OCT/2023 USD 100		1	14,095	14,095	10/31/2023
912828-TJ-9	UNITED STATES OF AMERICA NOTES FIXED 1.625% 15/AUG/2022 USD 100		1	2,280	2,280	08/15/2022
912828-U2-4	UNITED STATES OF AMERICA NOTES FIXED 2% 15/NOV/2026 USD 100		1	25,021	25,021	11/15/2026
912828-UF-5	UNITED STATES OF AMERICA NOTES FIXED 1.125% 31/DEC/2019 USD 100		1	220	220	12/31/2019
912828-UH-1	UNITED STATES OF AMERICA NOTES FIXED .125% 15/JAN/2023 USD 100		1	4,578	4,578	01/15/2023
912828-UN-8	UNITED STATES OF AMERICA NOTES FIXED 2% 15/FEB/2023 USD 100		1	81,106	81,106	02/15/2023
912828-V3-1	UNITED STATES OF AMERICA NOTES FIXED 1.375% 15/JAN/2020 USD 100		1	6,499	6,499	01/15/2020
912828-V4-9	UNITED STATES OF AMERICA NOTES FIXED .375% 15/JAN/2027 USD 100		1	948	948	01/15/2027
912828-V7-2	UNITED STATES OF AMERICA NOTES FIXED 1.875% 31/JAN/2022 USD 100		1	7,902	7,902	01/31/2022
912828-V9-8	UNITED STATES OF AMERICA NOTES FIXED 2.25% 15/FEB/2027 USD 100		1	57,036	57,036	02/15/2027
912828-VB-3	UNITED STATES OF AMERICA NOTES FIXED 1.75% 15/MAY/2023 USD 100		1	7,894	7,894	05/15/2023
912828-VF-4	UNITED STATES OF AMERICA NOTES FIXED 1.375% 31/MAY/2020 USD 100		1	166,557	166,557	05/31/2020
912828-VM-9	UNITED STATES OF AMERICA NOTES FIXED .375% 15/JUL/2023 USD 100		1	27,399	27,399	07/15/2023
912828-VP-2	UNITED STATES OF AMERICA NOTES FIXED 2% 31/JUL/2020 USD 100		1	80,679	80,679	07/31/2020
912828-VS-6	UNITED STATES OF AMERICA NOTES FIXED 2.5% 15/AUG/2023 USD 100		1	3,401	3,401	08/15/2023
912828-VV-9	UNITED STATES OF AMERICA NOTES FIXED 2.125% 31/AUG/2020 USD 100		1	15,433	15,433	08/31/2020
912828-WE-6	UNITED STATES OF AMERICA NOTES FIXED 2.75% 15/NOV/2023 USD 100		1	2,716	2,716	11/15/2023
912828-WJ-5	UNITED STATES OF AMERICA NOTES FIXED 2.5% 15/MAY/2024 USD 100		1	138,747	138,747	05/15/2024
912828-X3-9	UNITED STATES OF AMERICA NOTES FIXED .125% 15/APR/2022 USD 100		1	13,537	13,537	04/15/2022
912828-XB-1	UNITED STATES OF AMERICA NOTES FIXED 2.125% 15/MAY/2025 USD 100		1	44,882	44,882	05/15/2025
912828-XD-7	UNITED STATES OF AMERICA NOTES FIXED 1.875% 31/MAY/2022 USD 100		1	46,226	46,226	05/31/2022
912828-XL-9	UNITED STATES OF AMERICA NOTES FIXED .375% 15/JUL/2025 USD 100		1	16,743	16,743	07/15/2025
912828-Y2-0	UNITED STATES OF AMERICA NOTES FIXED 2.625% 15/JUL/2021 USD 100		1	8,133	8,133	07/15/2021
0199999. Subtotal - Bonds - U.S. Governments - Issuer Obligations				1,545,780	1,545,780	XXX
0599999. Total - U.S. Government Bonds				1,545,780	1,545,780	XXX
1099999. Total - All Other Government Bonds				0	0	XXX
1799999. Total - U.S. States, Territories and Possessions Bonds				0	0	XXX
2499999. Total - U.S. Political Subdivisions Bonds				0	0	XXX
3199999. Total - U.S. Special Revenues Bonds				0	0	XXX
06417G-Q2-7	BANK OF NOVA SCOTIA HOUSTON		1	169,811	169,850	03/20/2019
20271E-NM-7	COMMONWEALTH BANK AUS, NEW YORK		1	95,038	95,004	04/23/2019
89114W-ER-4	TORONTO DOMINION NY		1	135,720	135,720	09/17/2019
94989R-R2-6	WELLS FARGO BANK SAN FRANCISCO N.A.		1	339,338	339,299	07/11/2019
3299999. Subtotal - Bonds - Industrial and Miscellaneous (Unaffiliated) - Issuer Obligations				739,907	739,673	XXX
3899999. Total - Industrial and Miscellaneous (Unaffiliated) Bonds				739,907	739,673	XXX
4899999. Total - Hybrid Securities				0	0	XXX
5599999. Total - Parent, Subsidiaries and Affiliates Bonds				0	0	XXX
6099999. Subtotal - SVO Identified Funds				0	0	XXX
6199999. Total - Issuer Obligations				2,285,687	2,285,453	XXX
6299999. Total - Residential Mortgage-Backed Securities				0	0	XXX
6399999. Total - Commercial Mortgage-Backed Securities				0	0	XXX
6499999. Total - Other Loan-Backed and Structured Securities				0	0	XXX
6599999. Total - SVO Identified Funds				0	0	XXX
6699999. Total Bonds				2,285,687	2,285,453	XXX
7099999. Total - Preferred Stocks				0	0	XXX
7599999. Total - Common Stocks				0	0	XXX
7699999. Total - Preferred and Common Stocks				0	0	XXX
000000-00-0	CIC LONDON			153,109	151,412	10/25/2018
000000-00-0	ML PIERCE FENNER & SMITH INC			678,598	678,598	12/20/2018
000000-00-0	MORGAN STANLEY			678,598	678,598	11/08/2018
000000-00-0	UNITED OF OMAHA LIFE INSURANCE			67,860	67,860	10/29/2018
000000-00-0	DBS BANK LIMITED, SINGAPORE			203,579	203,579	10/05/2018
000000-00-0	AUSTRALIA NEW ZEALAND SINGAPORE			67,860	67,860	11/13/2018
05971X-GY-1	BANCO DEL ESTADO DE CHILE NY			135,713	135,720	03/20/2019
06053P-P7-6	BANK OF AMERICA CHARLOTTE			135,720	135,720	01/15/2019
06119R-ML-6	BANK OF CHINA, HONG KONG BRANCH			47,229	47,199	12/20/2018
06120B-L2-1	BANK OF CHINA (HONG KONG) LIMITED			203,132	202,288	11/02/2018
06742T-HN-9	BARCLAYS NEW YORK			95,002	95,004	02/01/2019
06742T-HR-0	BARCLAYS NEW YORK			40,708	40,716	02/04/2019
21684B-SH-3	RABOBANK NEW YORK			203,582	203,579	10/01/2018
21684B-SJ-9	RABOBANK NEW YORK			108,659	108,576	04/05/2019
22536U-SP-6	CIC NY			203,676	203,579	02/05/2019
44988K-EP-0	ING (US) Funding LLC			135,789	135,720	02/08/2019
44988K-GA-1	ING (US) Funding LLC			203,600	203,579	05/10/2019
45580D-TH-7	IND AND COM BK OF CHINA LTD, NY BR			135,721	135,720	10/24/2018
45580D-UH-5	IND AND COM BK OF CHINA LTD, NY BR			27,143	27,144	12/24/2018
55379W-DA-1	MUFG Bank Ltd, New York Branch			271,491	271,439	10/29/2018

SCHEDULE DL - PART 1  
SECURITIES LENDING COLLATERAL ASSETS

Reinvested Collateral Assets Owned Current Statement Date

(Securities lending collateral assets reported in aggregate on Line 10 of the Assets page and not included on Schedules A, B, BA, D, DB and E)

1	2	3	4	5	6	7
CUSIP Identification	Description	Code	NAIC Designation/ Market Indicator	Fair Value	Book/Adjusted Carrying Value	Maturity Date
60700A-S3-9	MIZUHO BANK LIMITED NEW YORK			.67,860	.67,860	.03/05/2019
60700A-11X-8	MIZUHO BANK LIMITED NEW YORK			210,371	210,365	.10/11/2018
63873N-UN-9	NATIXIS NY			.67,896	.67,860	.03/05/2019
65590A-UR-5	NORDEA BK AB NY			135,720	135,720	.04/05/2019
82124M-LS-7	SHEFFIELD RECEIVABLE CORP.			.67,599	.66,973	.11/26/2018
83369Y-D7-8	SOCIETE GENERALE NEW YORK			135,717	135,720	.10/02/2018
83369Y-XP-6	SOCIETE GENERALE NEW YORK			.67,871	.67,872	.12/03/2018
85520M-L8-4	STARBOARD FUNDING CORP.			40,612	40,484	.11/08/2018
86564F-AN-3	SUMITOMO MITSUI TRUST BANK LTD,NY			203,581	203,579	.10/11/2018
86564F-DB-6	SUMITOMO MITSUI TRUST BANK LTD,NY			135,721	135,720	.10/15/2018
86565B-MC-2	SUMITOMO BK NY			135,704	135,720	.03/05/2019
86958J-QM-4	SVENSKA NY			135,745	135,734	.01/03/2019
90276J-DQ-6	UNION BANK OF SWITZERLAND CP			203,767	203,579	.02/01/2019
912796-PT-0	UNITED STATES OF AMERICA BILL ZERO CPN 28/FEB/2019 USD 100			142,405	142,405	.02/28/2019
912796-QU-6	UNITED STATES OF AMERICA BILL ZERO CPN 24/JAN/2019 USD 100			146,937	146,937	.01/24/2019
912796-OZ-5	UNITED STATES OF AMERICA BILL ZERO CPN 07/MAR/2019 USD 100			209,957	209,957	.03/07/2019
912796-RC-5	UNITED STATES OF AMERICA BILL ZERO CPN 21/MAR/2019 USD 100			133,212	133,212	.03/21/2019
912828-C2-4	UNITED STATES OF AMERICA NOTES FIXED 1.5% 28/FEB/2019 USD 100			813	813	.02/28/2019
912828-D2-3	UNITED STATES OF AMERICA NOTES FIXED 1.625% 30/APR/2019 USD 100			13,603	13,603	.04/30/2019
912828-LJ-7	UNITED STATES OF AMERICA NOTES FIXED 3.625% 15/AUG/2019 USD 100			72,899	72,899	.08/15/2019
912828-O5-2	UNITED STATES OF AMERICA NOTES FIXED .875% 15/APR/2019 USD 100			23,657	23,657	.04/15/2019
912828-V6-4	UNITED STATES OF AMERICA NOTES VARIABLE 31/JAN/2019 USD 100			122,898	122,898	.01/31/2019
912828-X5-4	UNITED STATES OF AMERICA NOTES VARIABLE 30/APR/2019 USD 100			4,758	4,758	.04/30/2019
961204-YT-2	WESTPAC BKG CORP			.67,897	.67,860	.05/24/2019
961204-ZC-8	WESTPAC BKG CORP			135,720	135,720	.08/08/2019
89999999. Total - Short-Term Invested Assets (Schedule DA type)				6,479,689	6,475,795	XXX
000000-00-0	NATIXIS FINANCIAL PRODUCTS LLC			.88,218	.88,218	.10/01/2018
000000-00-0	ING FINANCIAL MARKETS LLC			339,299	339,299	.10/01/2018
000000-00-0	MORGAN STANLEY			271,439	271,439	.10/02/2018
000000-00-0	CANADIAN IMPERIAL BANK G.C.			.27,144	.27,144	.10/01/2018
000000-00-0	SHINKIN CENTRAL BANK			135,720	135,720	.10/26/2018
000000-00-0	UNITED OVERSEAS BANK LTD, NY			135,720	135,720	.10/01/2018
000000-00-0	DEUTSCHE BANK SECURITIES INC.			.84,268	.84,268	.10/01/2018
000000-00-0	NOMURA SECURITIES			.67,860	.67,860	.10/01/2018
06119R-KK-0	BANK OF CHINA, HONG KONG BRANCH			81,327	80,930	.10/19/2018
16706B-5U-8	THE CHIBA BANK LTD NEW YORK BRANCH			.67,859	.67,860	.10/05/2018
16706B-6D-5	THE CHIBA BANK LTD NEW YORK BRANCH			203,574	203,579	.11/09/2018
51500L-T3-5	LANDESBANK BADEN WUERTTEMBERG, NY			.67,860	.67,860	.10/02/2018
912796-NZ-8	UNITED STATES OF AMERICA BILL ZERO CPN 11/OCT/2018 USD 100			40,661	40,661	.10/11/2018
912796-PD-5	UNITED STATES OF AMERICA BILL ZERO CPN 08/NOV/2018 USD 100			.677	.677	.11/08/2018
912796-PE-3	UNITED STATES OF AMERICA BILL ZERO CPN 06/DEC/2018 USD 100			22,991	22,991	.12/06/2018
912796-OB-8	UNITED STATES OF AMERICA BILL ZERO CPN 04/OCT/2018 USD 100			12,934	12,934	.10/04/2018
912796-QD-4	UNITED STATES OF AMERICA BILL ZERO CPN 18/OCT/2018 USD 100			244,004	244,004	.10/18/2018
912796-QF-9	UNITED STATES OF AMERICA BILL ZERO CPN 01/NOV/2018 USD 100			33,879	33,879	.11/01/2018
912828-RT-9	UNITED STATES OF AMERICA NOTES FIXED 1.375% 30/NOV/2018 USD 100			422	422	.11/30/2018
912828-T7-5	UNITED STATES OF AMERICA NOTES VARIABLE 31/OCT/2018 USD 100			2,682	2,678	.10/31/2018
91999999. Total - Cash Equivalents (Schedule E Part 2 type)				1,928,538	1,928,143	XXX
99999999 - Totals				10,693,914	10,689,391	XXX

General Interrogatories:

1.

Total activity for the year

Fair Value \$

10,623,743

Book/Adjusted Carrying Value \$

10,630,249
2.

Average balance for the year

Fair Value \$

5,889,350

Book/Adjusted Carrying Value \$

5,887,011
3.

Reinvested securities lending collateral assets book/adjusted carrying value included in this schedule by NAIC designation:

NAIC 1 \$

10,605,123

NAIC 2 \$

84,268

NAIC 3 \$

0

NAIC 4 \$

0

NAIC 5 \$

0

NAIC 6 \$

0

**SCHEDULE DL - PART 2**  
**SECURITIES LENDING COLLATERAL ASSETS**

(Securities lending collateral assets included on Schedules A, B, BA, D, DB and E and not reported in aggregate on Line 10 of the Assets page)

# NONE

1. Total activity for the year
2. Average balance for the year

Fair Value \$ ..... Book/Adjusted Carrying Value \$ .....  
 Fair Value \$ ..... Book/Adjusted Carrying Value \$ .....

SCHEDULE E - PART 1 - CASH

Month End Depository Balances

1	2	3	4	5	Book Balance at End of Each Month During Current Quarter			9
					6	7	8	
Depository	Code	Rate of Interest	Amount of Interest Received During Current Quarter	Amount of Interest Accrued at Current Statement Date	First Month	Second Month	Third Month	*
Bank of America ..... 101 S. Tryon Street, 19th Floor, Charlotte, NC 28255		0.000	0	0	(374,746)	1,134,855	747,679	XXX
JP Morgan Chase ..... 4 New York Plaza, 13th Floor, New York, NY 10004		0.000	0	0	1,886,854	8,462,219	2,887,593	XXX
0199998. Deposits in ... depositories that do not exceed the allowable limit in any one depository (See instructions) - Open Depositories	XXX	XXX						XXX
0199999. Totals - Open Depositories	XXX	XXX	0	0	1,512,108	9,597,074	3,635,272	XXX
0299998. Deposits in ... depositories that do not exceed the allowable limit in any one depository (See instructions) - Suspended Depositories	XXX	XXX						XXX
0299999. Totals - Suspended Depositories	XXX	XXX	0	0	0	0	0	XXX
0399999. Total Cash on Deposit	XXX	XXX	0	0	1,512,108	9,597,074	3,635,272	XXX
0499999. Cash in Company's Office	XXX	XXX	XXX	XXX				XXX
.....								
.....								
.....								
.....								
.....								
.....								
.....								
.....								
.....								
0599999. Total - Cash	XXX	XXX	0	0	1,512,108	9,597,074	3,635,272	XXX



STATEMENT AS OF SEPTEMBER 30, 2018 OF THE Empire HealthChoice HMO, Inc.

## SCHEDULE E - PART 2 - CASH EQUIVALENTS

Show Investments Owned End of Current Quarter

1	2	3	4	5	6	7	8	9
CUSIP	Description	Code	Date Acquired	Rate of Interest	Maturity Date	Book/Adjusted Carrying Value	Amount of Interest Due and Accrued	Amount Received During Year
NONE								
88999999 - Total Cash Equivalents								